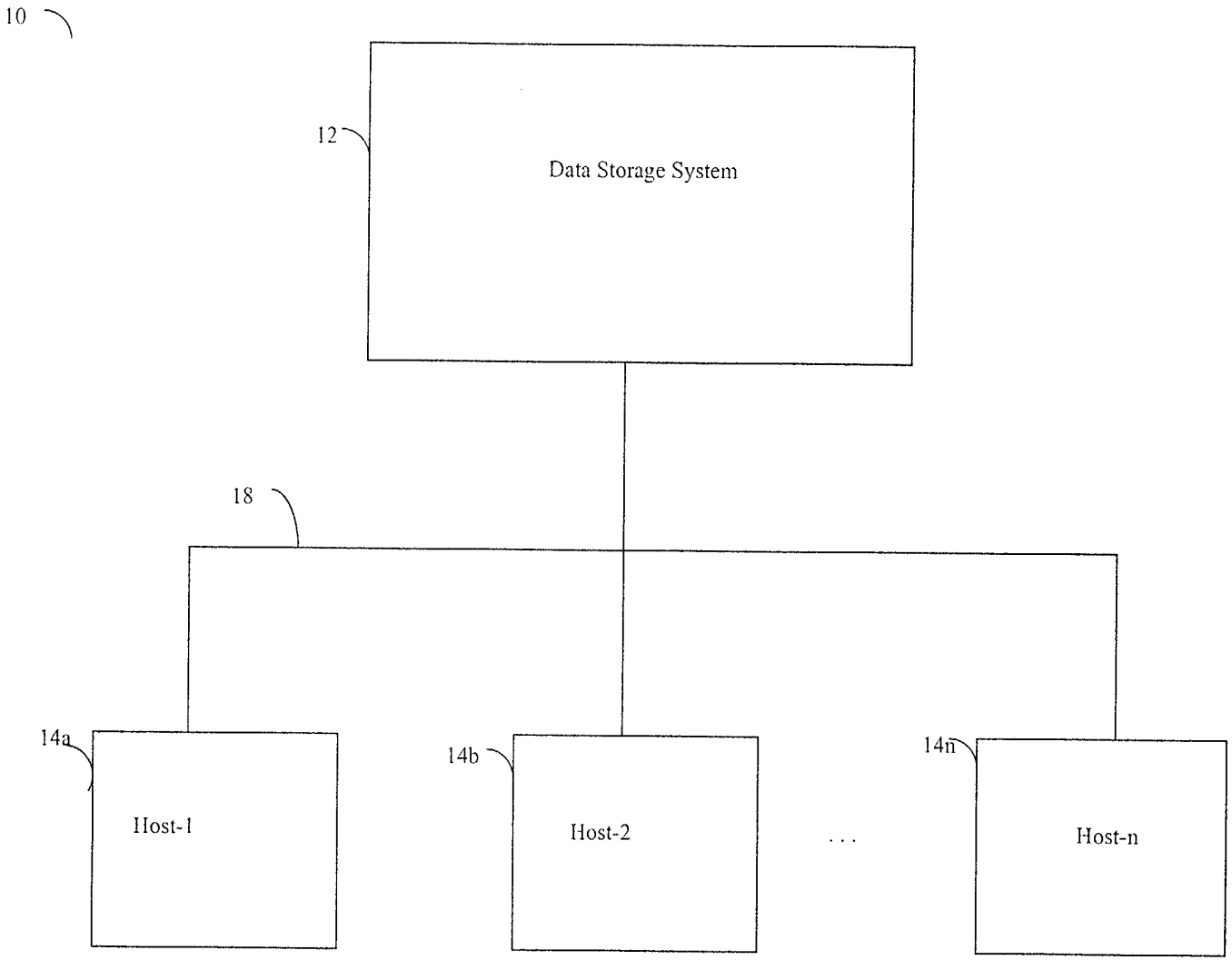


FIGURE 1

PCT/EP2004/052659

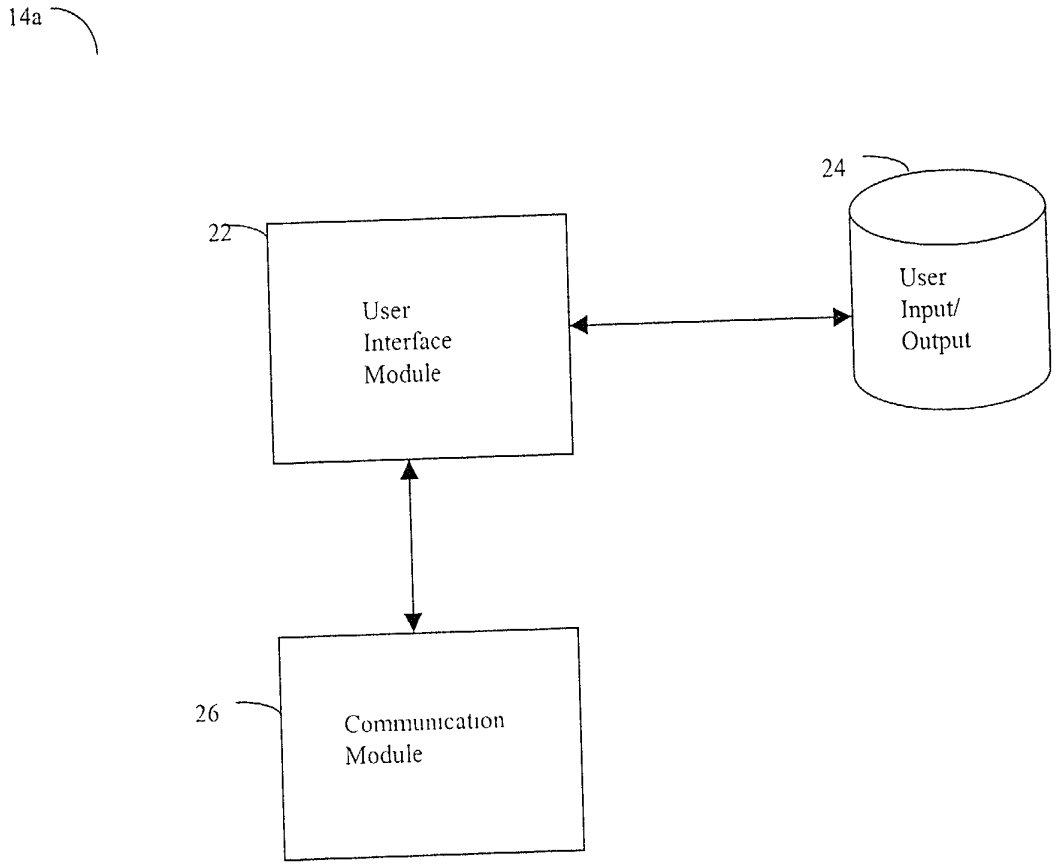


FIGURE 2

PATENT SEARCHED

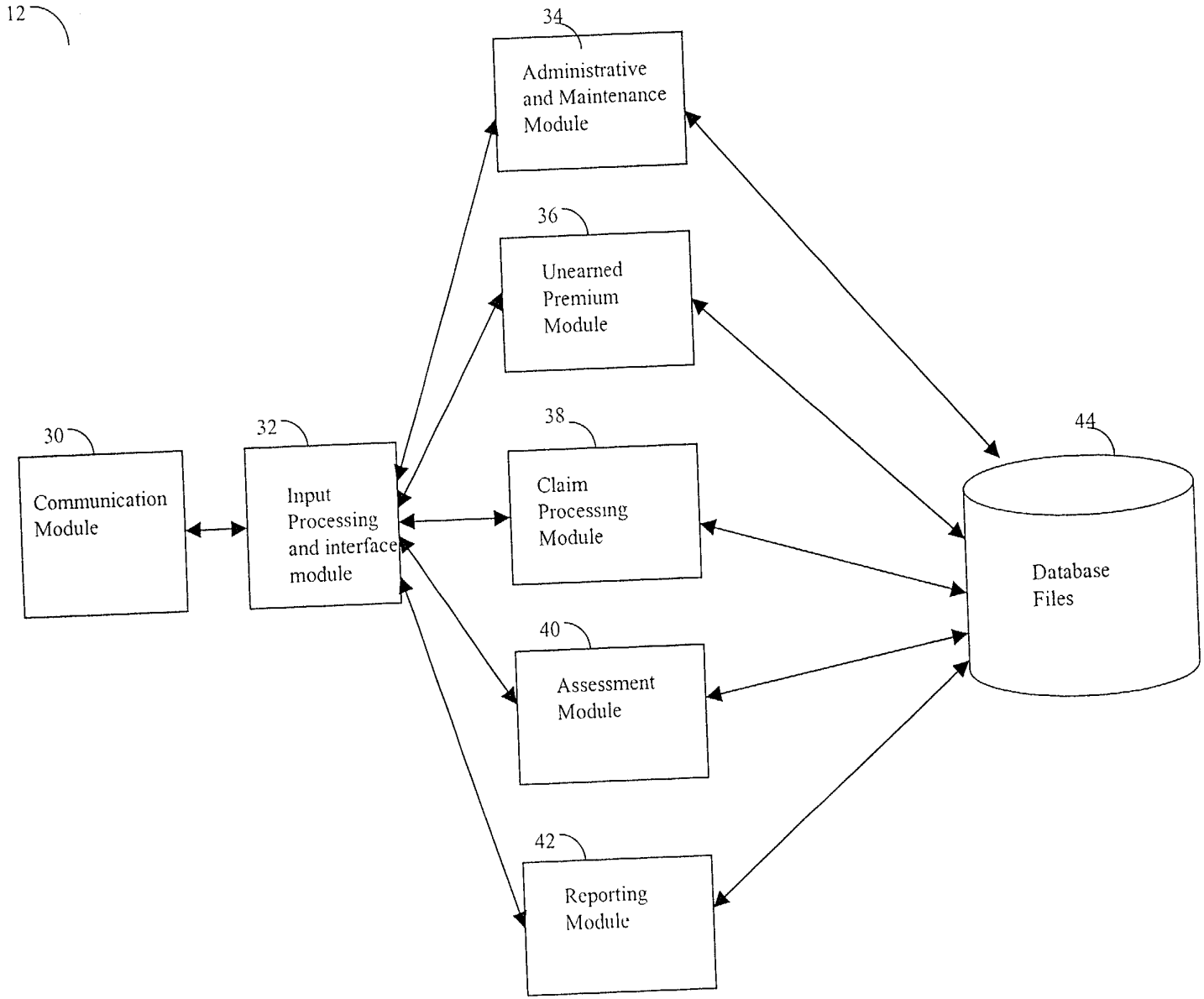


FIGURE 3

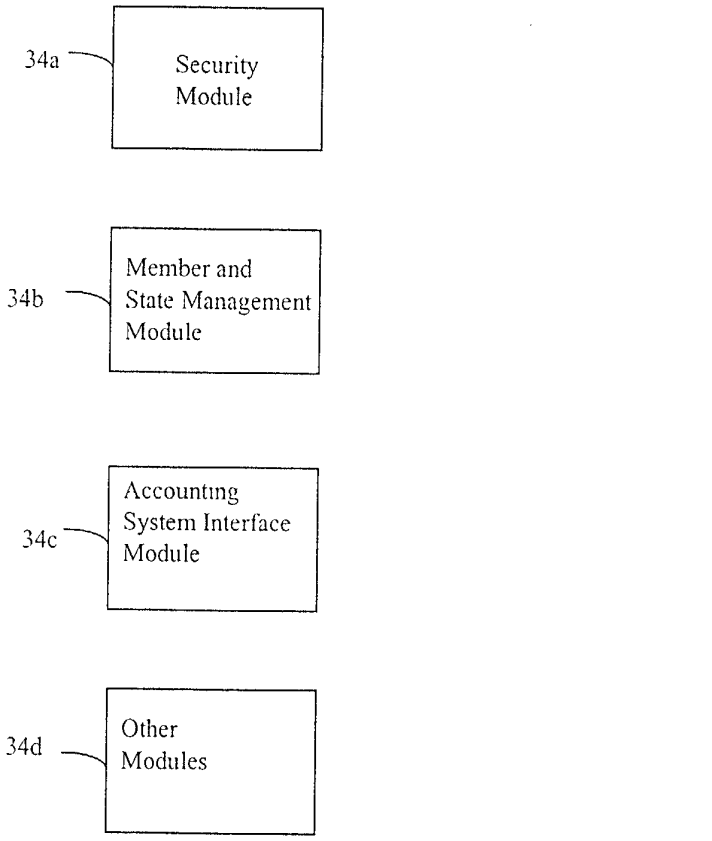

34
34a
Security Module
34b
Member and State Management Module
34c
Accounting System Interface Module
34d
Other Modules

FIGURE 4

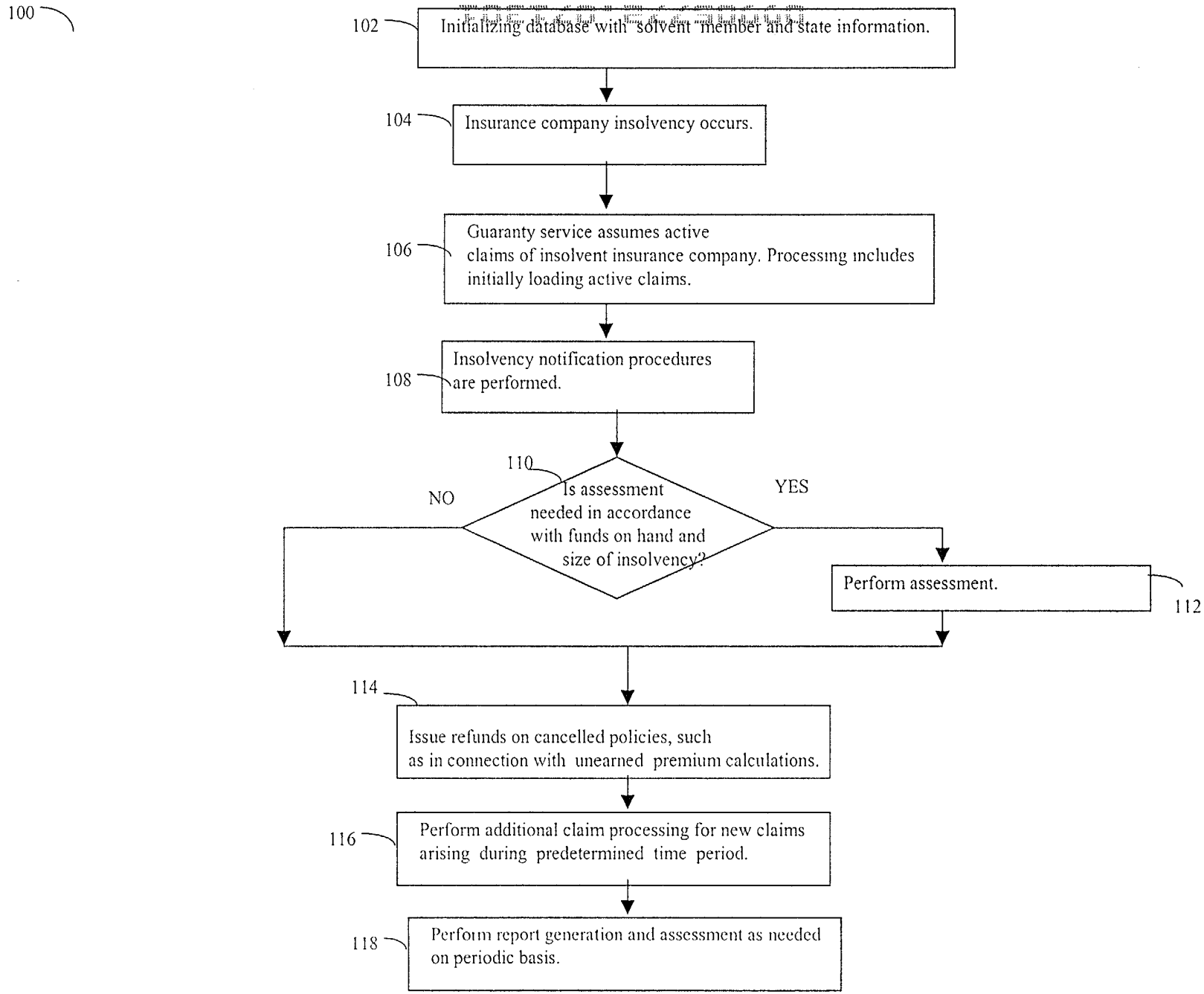

100
102
Initializing database with solvent member and state information.
104
Insurance company insolvency occurs.
106
Guaranty service assumes active claims of insolvent insurance company. Processing includes initially loading active claims.
108
Insolvency notification procedures are performed.
110
Is assessment needed in accordance with funds on hand and size of insolvency?
NO
YES
Perform assessment.
112
114
Issue refunds on cancelled policies, such as in connection with unearned premium calculations.
116
Perform additional claim processing for new claims arising during predetermined time period.
118
Perform report generation and assessment as needed on periodic basis.

FIGURE 5

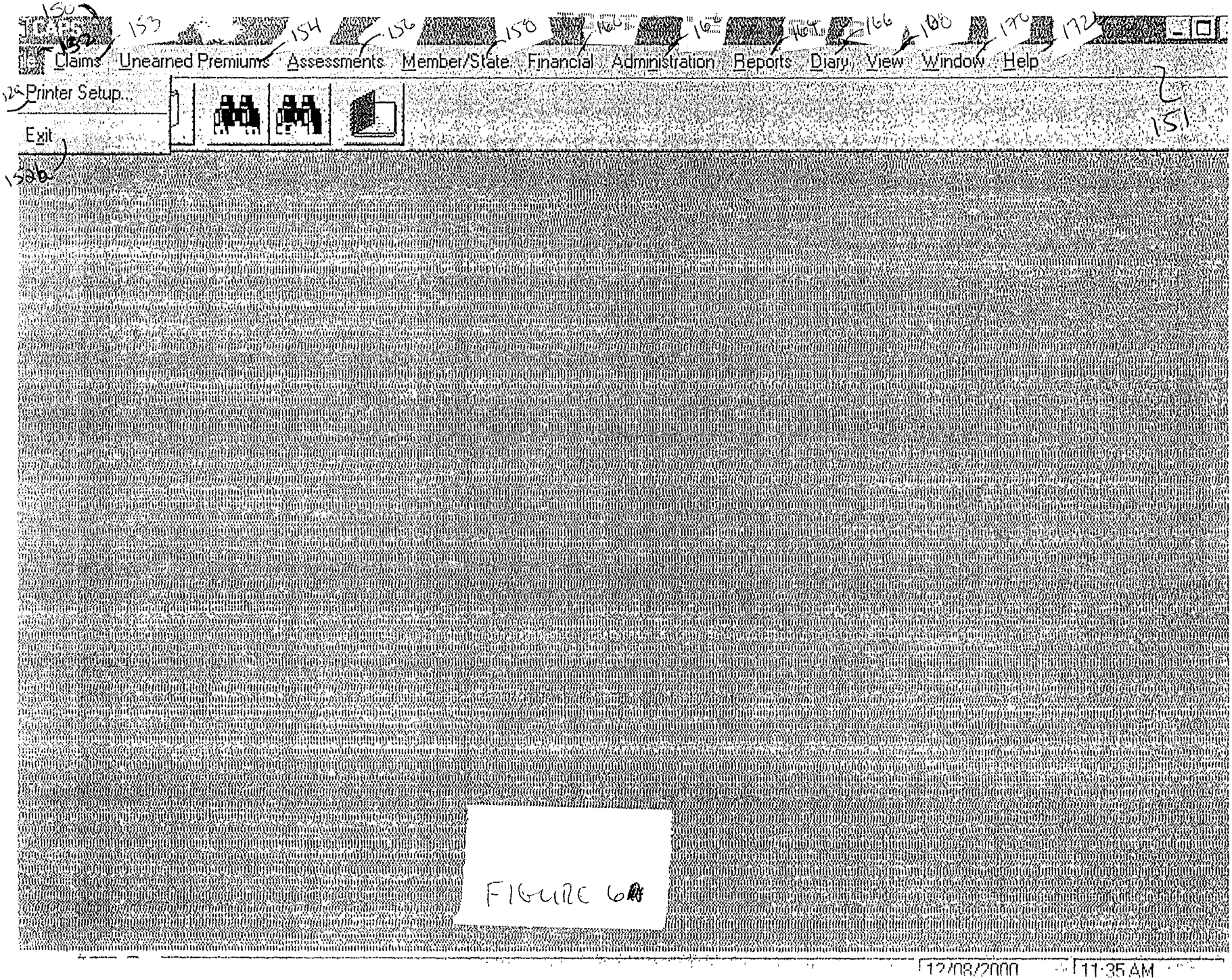
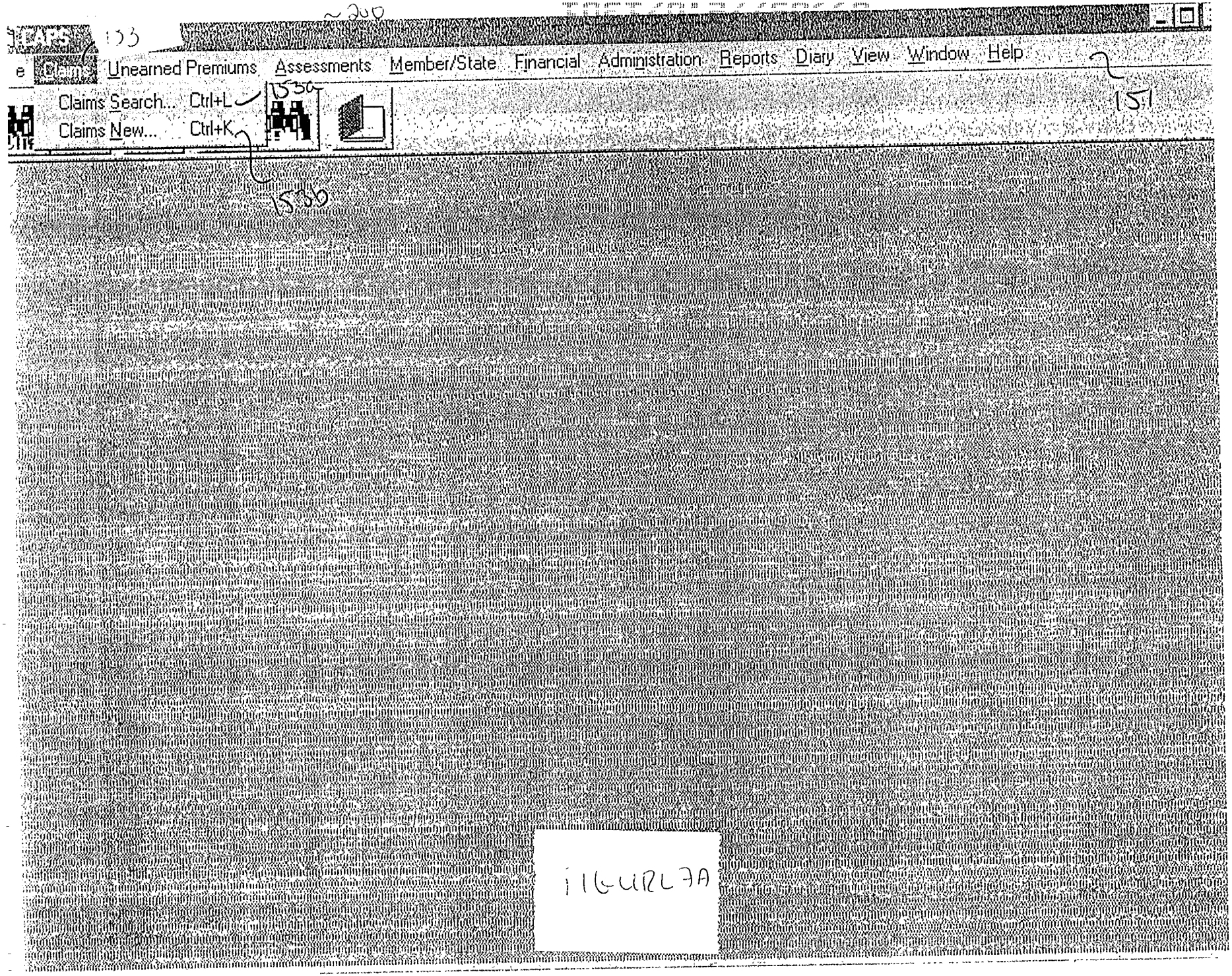
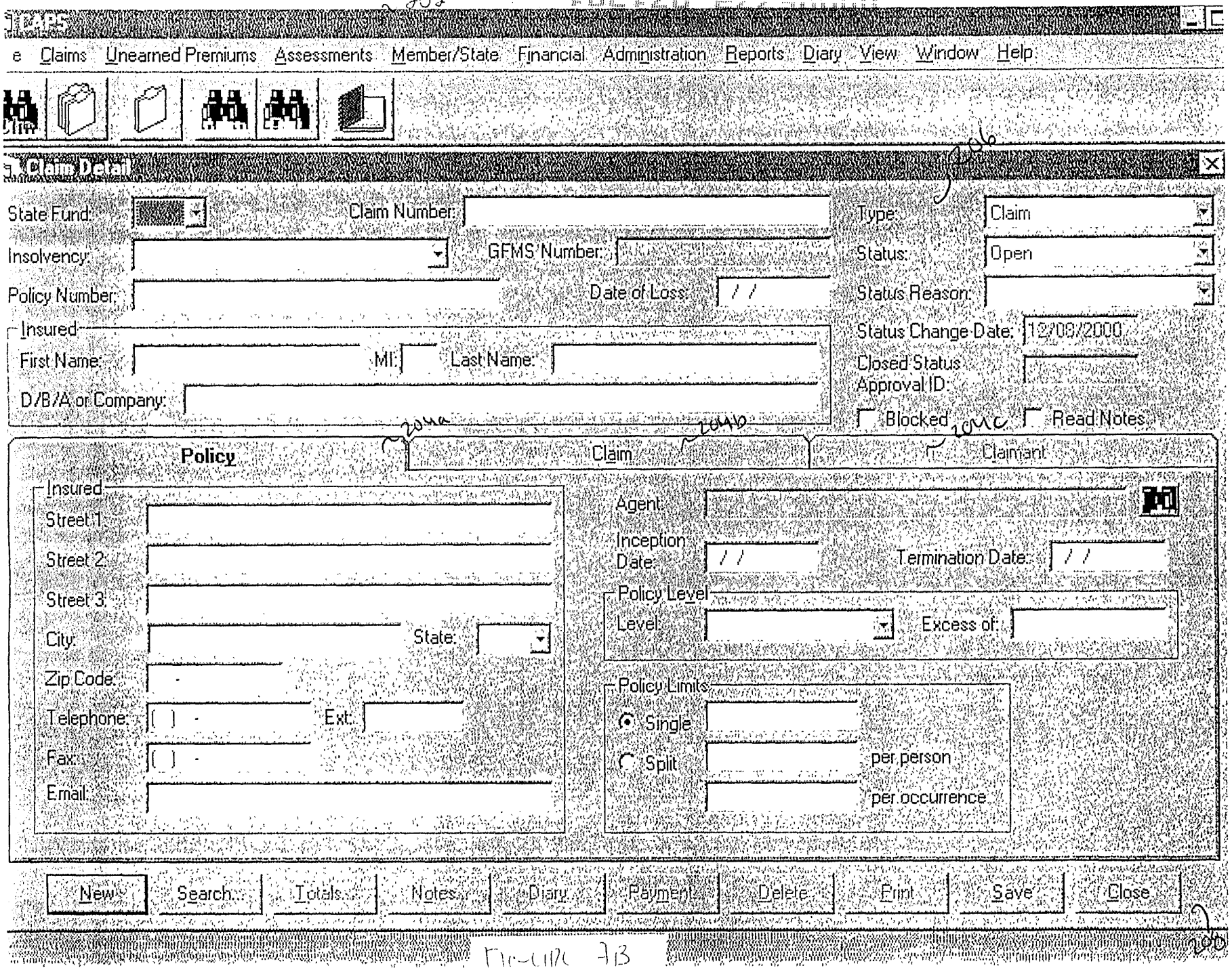
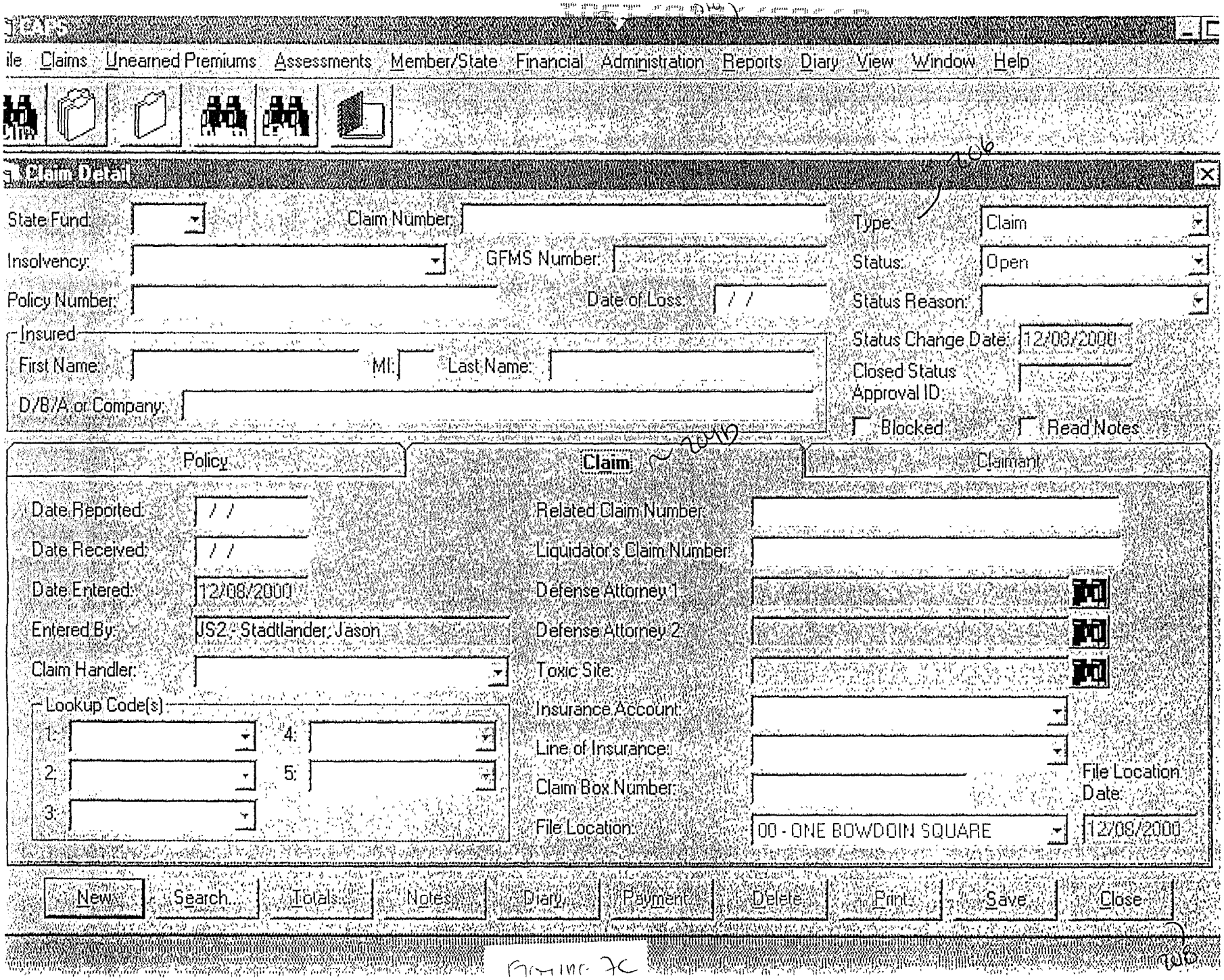
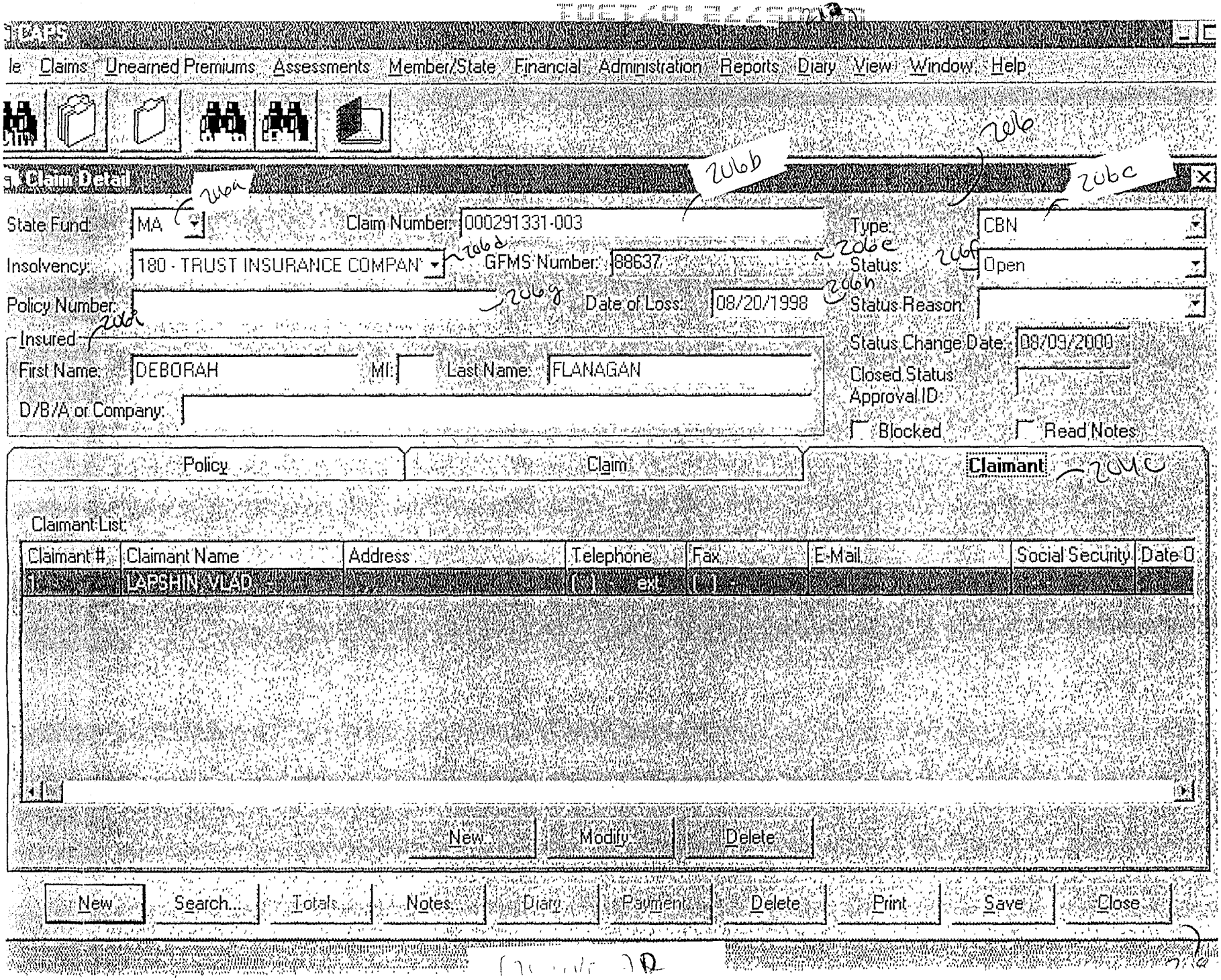

Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Printer Setup...
Exit
12/08/2000
11:35 AM

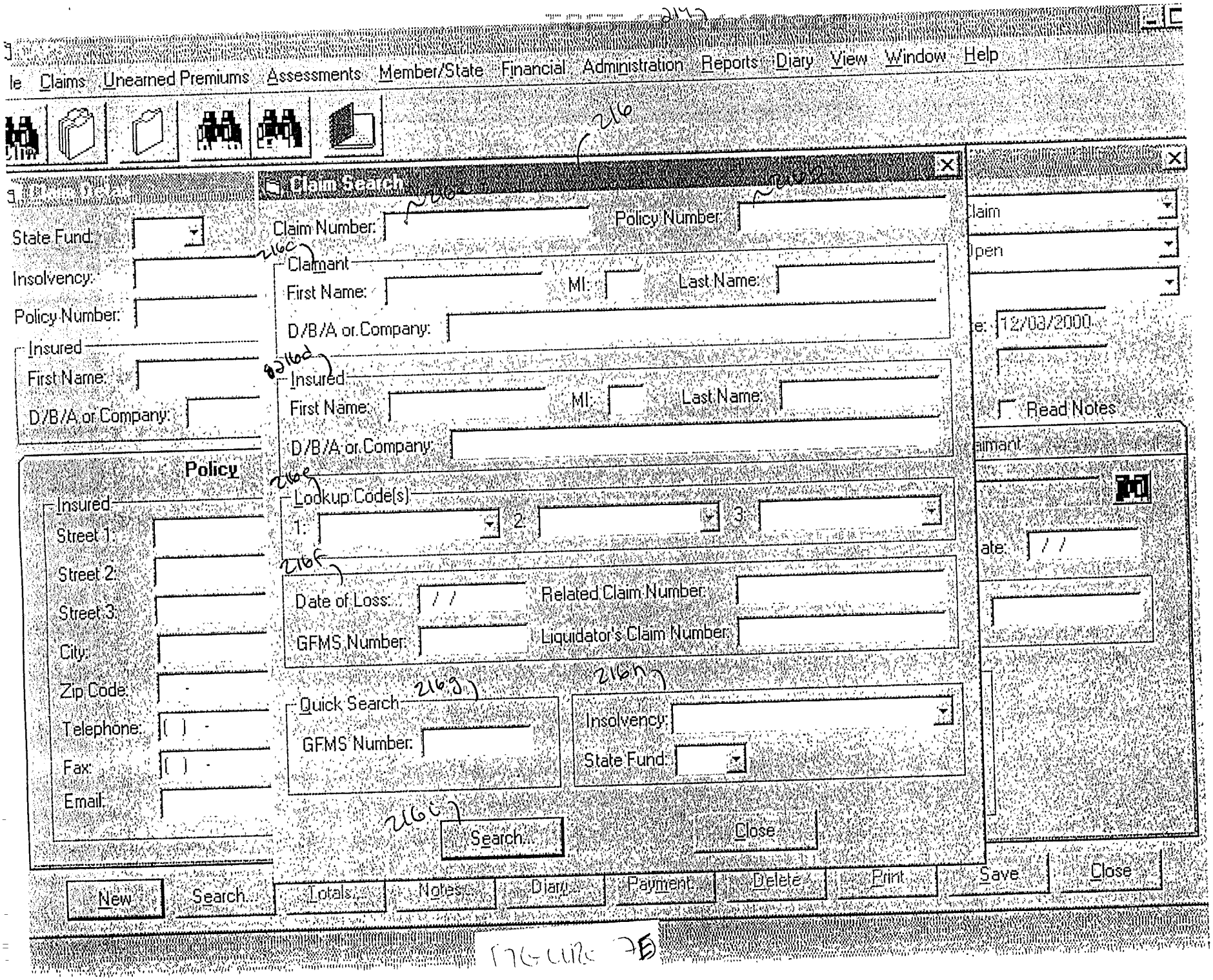
FIGURE 6A


Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Claims Search... Ctrl+L
Claims New... Ctrl+K
153
~200
1550
1551
1552
FIG. 7A


Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Claim Detail
State Fund:
Claim Number:
Type:
Claim
Insolvency:
GFMS Number:
Status:
Open
Policy Number:
Date of Loss:
Status Reason:
Insured
First Name:
MI:
Last Name:
Status Change Date:
12/08/2000
D/B/A or Company:
Closed Status Approval ID:
Blocked
Read Notes
Policy
Claim
Claimant
Insured
Street 1:
Street 2:
Street 3:
City:
State:
Zip Code:
Telephone:
Ext:
Fax:
Email:
Agent:
Inception Date:
Termination Date:
Policy Level
Level:
Excess of:
Policy Limits
Single
Split
per person
per occurrence
New
Search
Totals
Notes
Diary
Payment
Delete
Print
Save
Close


ile Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Claim Detail
State Fund:
Claim Number:
Type:
Claim
Insolvency:
GFMS Number:
Status:
Open
Policy Number:
Date of Loss: / /
Status Reason:
Insured
First Name:
MI:
Last Name:
Status Change Date: 12/08/2000
Closed Status Approval ID:
D/B/A or Company:
Blocked
Read Notes
Policy
Claim
Claimant
Date Reported: / /
Date Received: / /
Date Entered: 12/08/2000
Entered By: JS2 - Stadtlander, Jason
Claim Handler:
Related Claim Number:
Liquidator's Claim Number:
Defense Attorney 1:
Defense Attorney 2:
Toxic Site:
Lookup Code(s)
1:
2:
3:
4:
5:
Insurance Account:
Line of Insurance:
Claim Box Number:
File Location:
00 - ONE BOWDOIN SQUARE
File Location Date:
12/08/2000
New
Search...
Totals
Notes
Diary
Payment
Delete
Print
Save
Close


Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Claim Detail
State Fund:
MA
Claim Number:
000291331-003
Type:
CBN
Insolvency:
180 - TRUST INSURANCE COMPAN
GFMS Number:
88637
Status:
Open
Policy Number:
Date of Loss:
08/20/1998
Status Reason:
Insured
Status Change Date:
08/09/2000
First Name:
DEBORAH
MI:
Last Name:
FLANAGAN
Closed Status Approval ID:
D/B/A or Company:
Blocked
Read Notes
Policy
Claim
Claimant
Claimant List:
Claimant #
Claimant Name
Address
Telephone
Fax
E-Mail
Social Security
Date O
LAPSHIN, VLAD
New
Modify
Delete
New
Search...
Totals
Notes...
Diary
Payment...
Delete
Print
Save
Close


le Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Claim Search
Claim Number:
Policy Number:
Claimant
First Name:
MI:
Last Name:
D/B/A or Company:
Insured
First Name:
MI:
Last Name:
D/B/A or Company:
Lookup Code(s)
1:
2:
3:
Date of Loss:
Related Claim Number:
GFMS Number:
Liquidator's Claim Number:
Quick Search
GFMS Number:
Insolvency:
State Fund:
Search...
Close
State Fund:
Insolvency:
Policy Number:
Insured
First Name:
D/B/A or Company:
Policy
Insured
Street 1:
Street 2:
Street 3:
City:
Zip Code:
Telephone:
Fax:
Email:
Claim
Open
e: 12/03/2000
Read Notes
ate:
New
Search...
Totals...
Notes...
Diary...
Payment...
Delete
Print
Save
Close

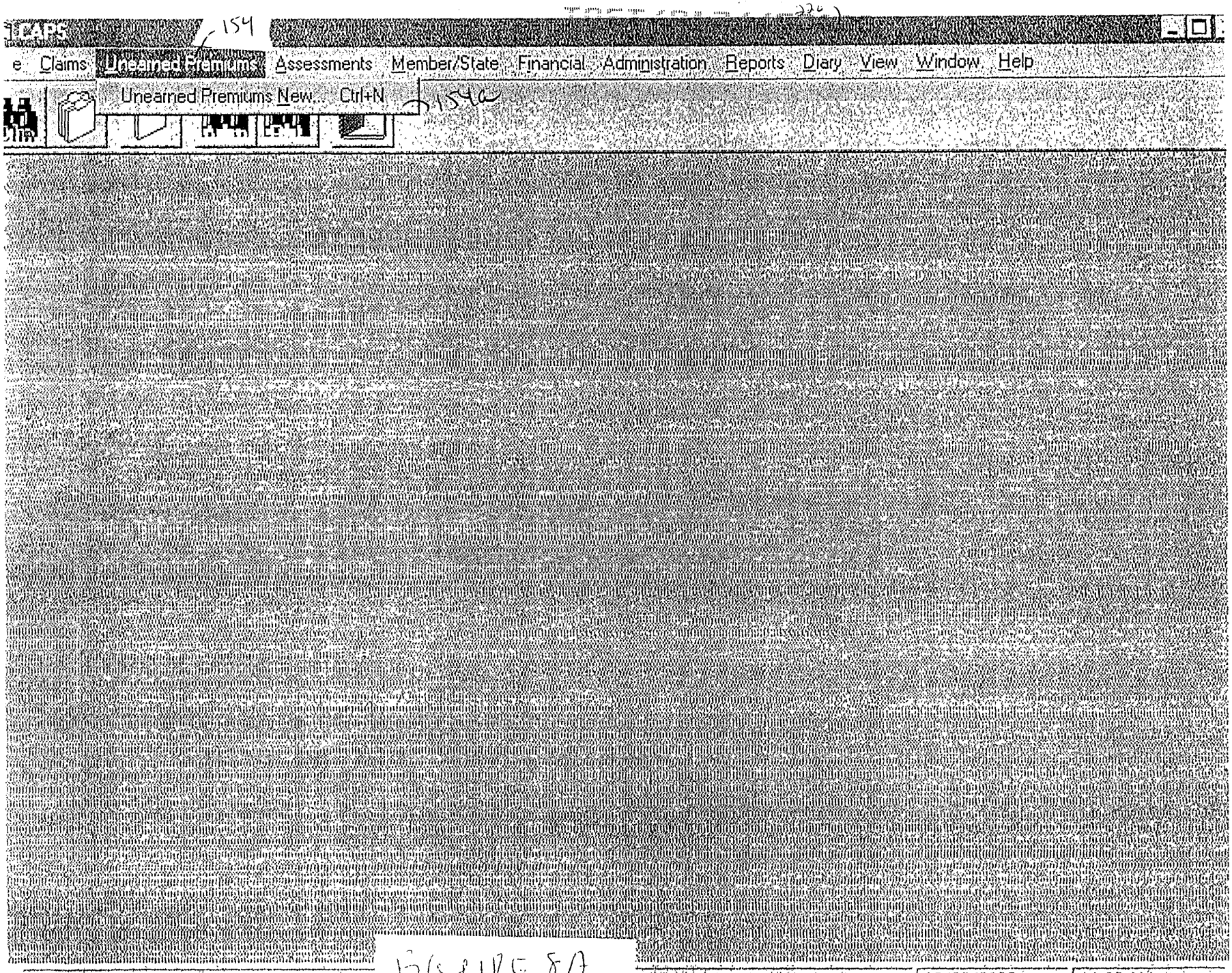
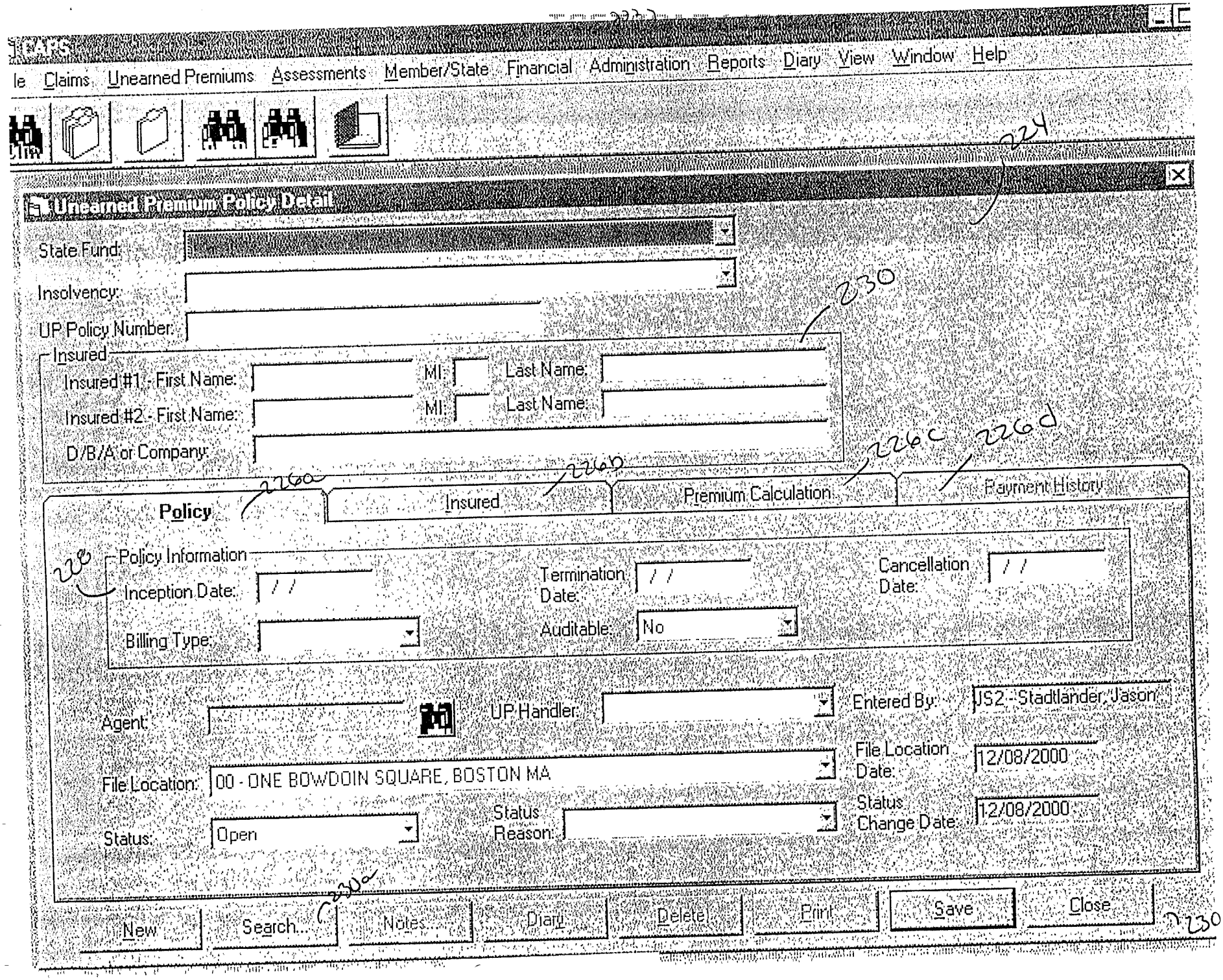
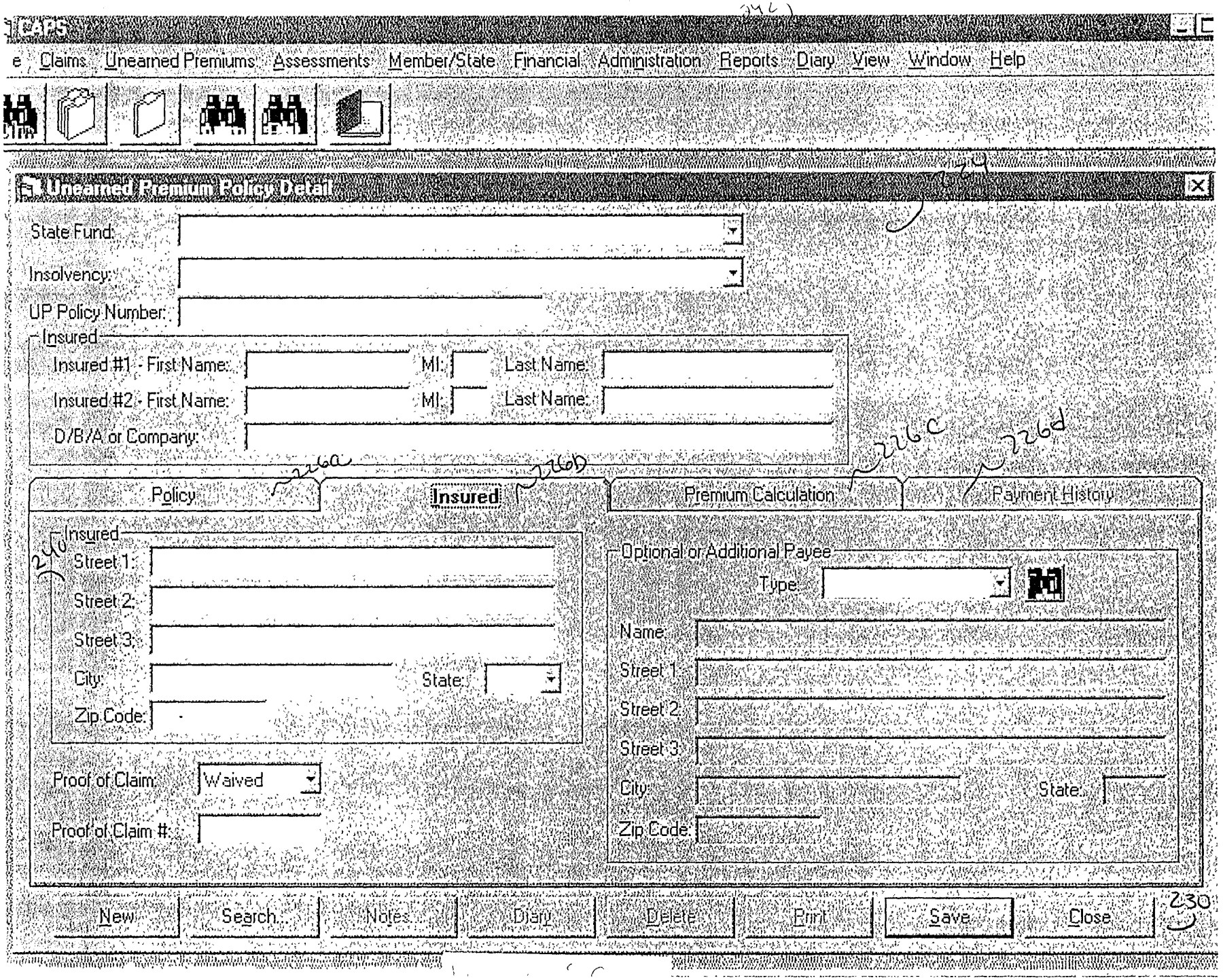
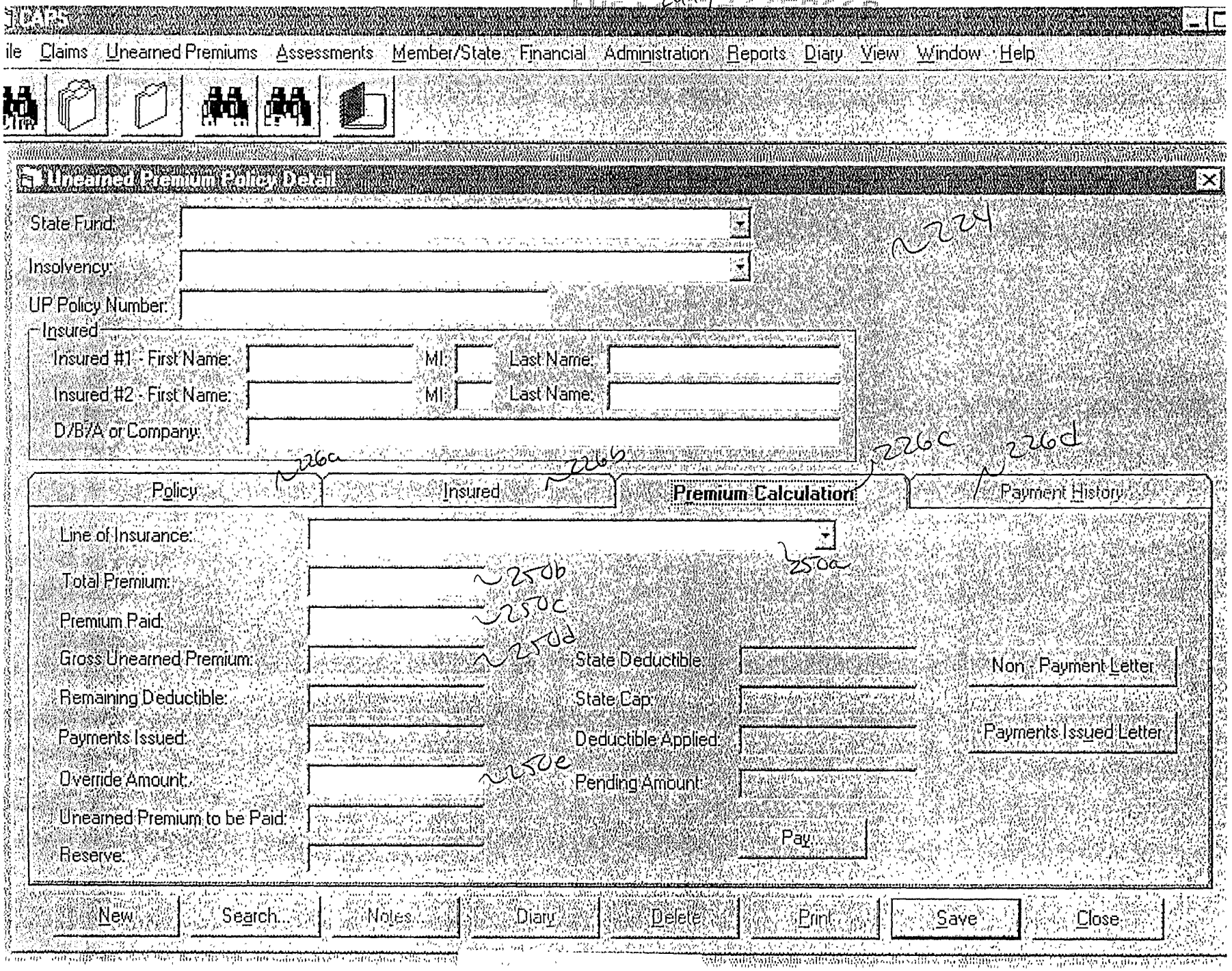
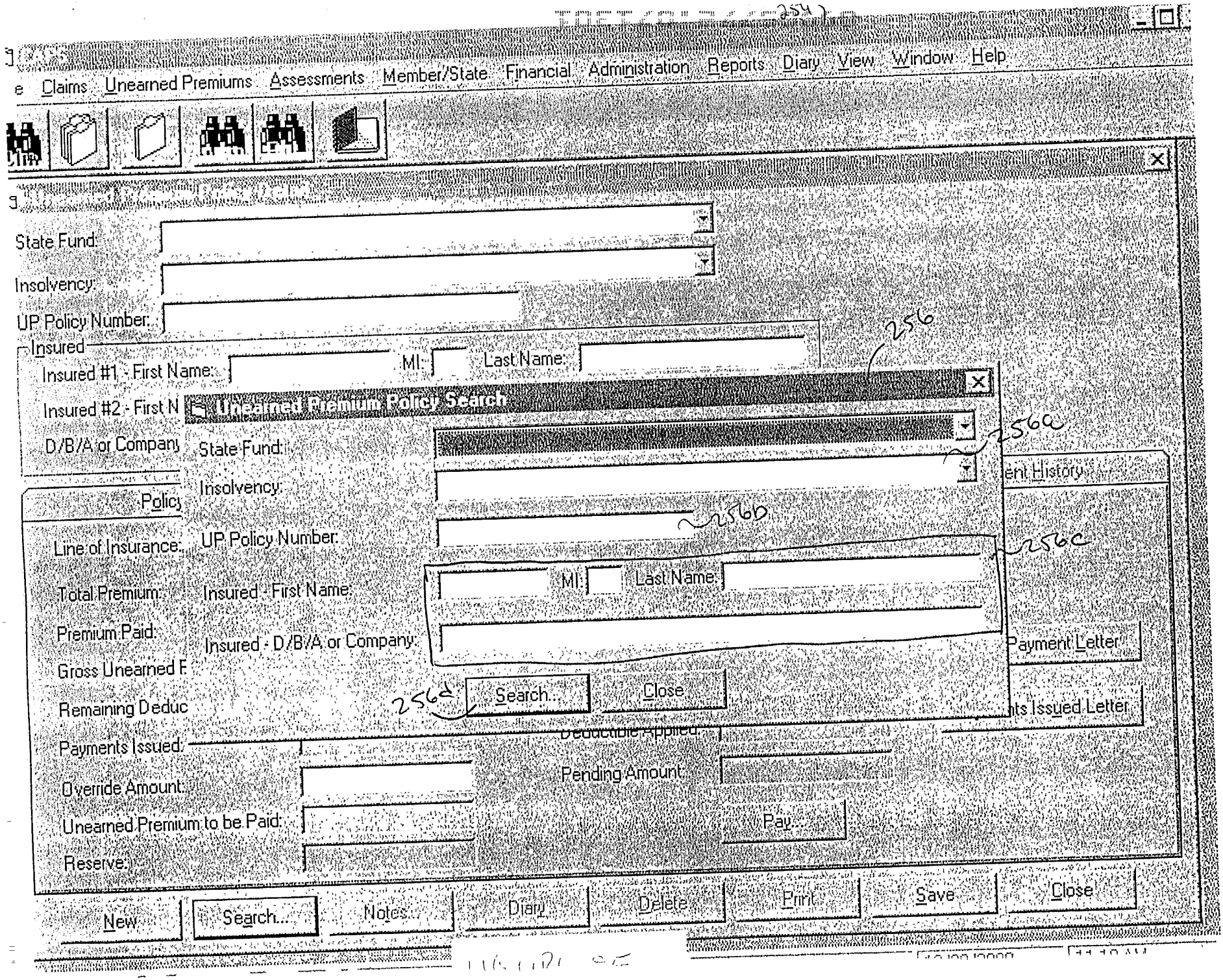

e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Unearned Premiums New... Ctrl+N
12/08/2000
11:36 AM

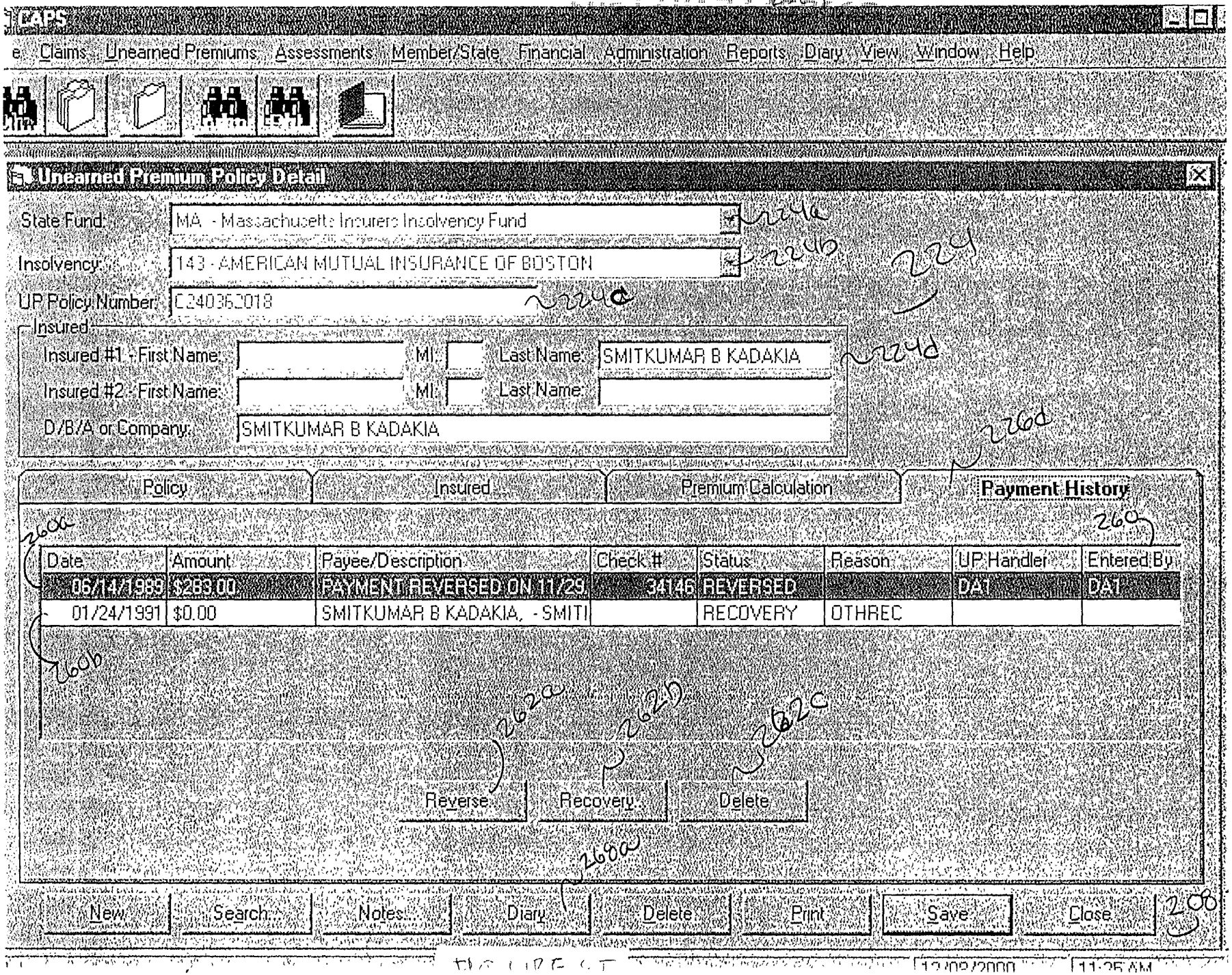
FIGURE 8A

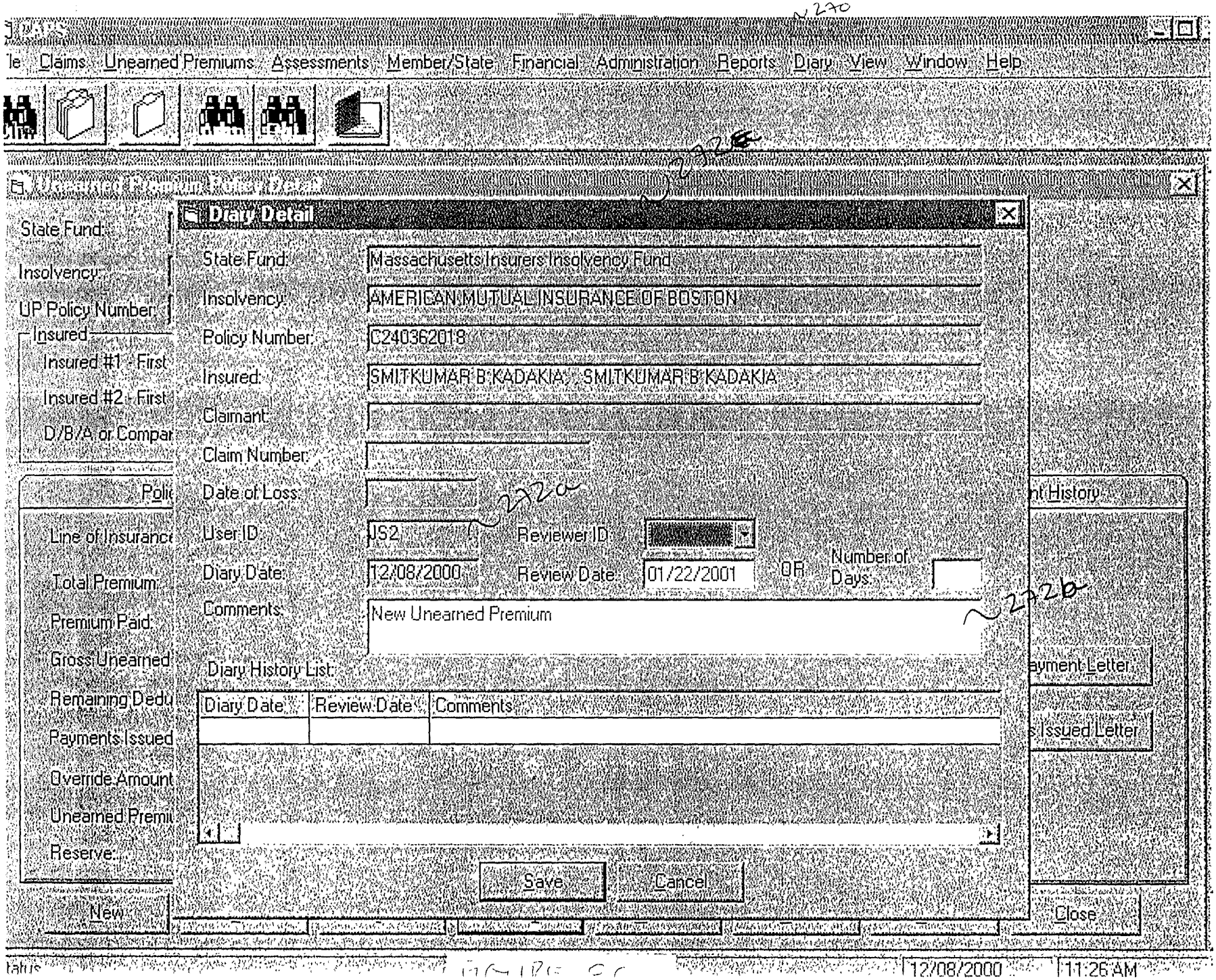

le Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Unearned Premium Policy Detail
State Fund:
Insolvency:
UP Policy Number:
Insured
Insured #1 - First Name:
MI
Last Name:
Insured #2 - First Name:
MI
Last Name:
D/B/A or Company:
Policy
Insured
Premium Calculation
Payment History
Policy Information
Inception Date:
Termination Date:
Cancellation Date:
Billing Type:
Auditable:
No
Agent:
UP Handler:
Entered By:
JS2 - Stadtlander, Jason
File Location:
00 - ONE BOWDOIN SQUARE, BOSTON MA
File Location Date:
12/08/2000
Status:
Open
Status Reason:
Status Change Date:
12/08/2000
New
Search...
Notes...
Diary...
Delete
Print...
Save
Close

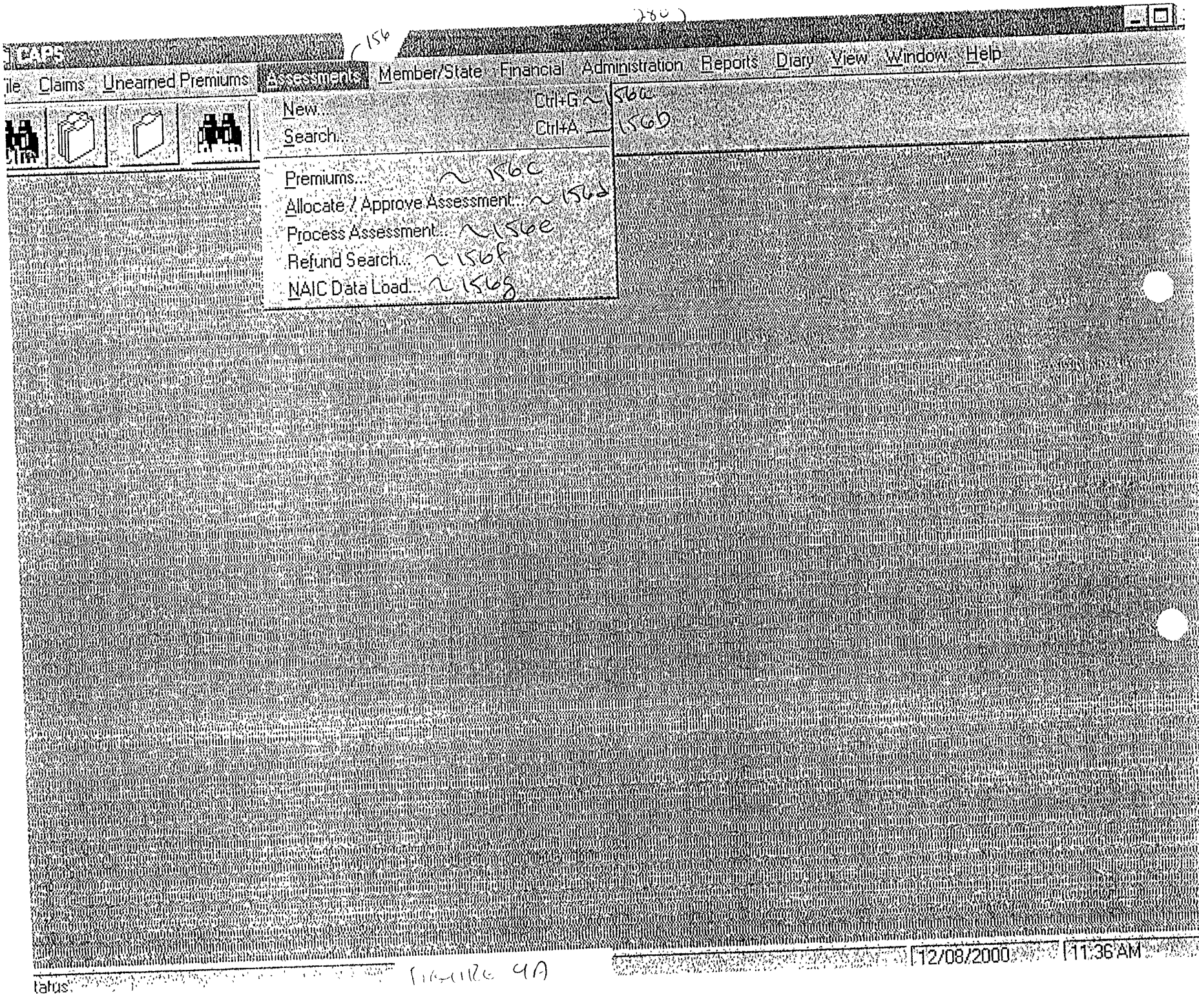

CAPS
e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Unearned Premium Policy Detail
State Fund:
Insolvency:
UP Policy Number:
Insured
Insured #1 - First Name:
MI:
Last Name:
Insured #2 - First Name:
MI:
Last Name:
D/B/A or Company:
Policy
Insured
Premium Calculation
Payment History
Insured
Street 1:
Street 2:
Street 3:
City:
State:
Zip Code:
Proof of Claim:
Waived
Proof of Claim #:
Optional or Additional Payee
Type:
Name:
Street 1:
Street 2:
Street 3:
City:
State:
Zip Code:
New
Search...
Notes...
Diary
Delete
Print
Save
Close

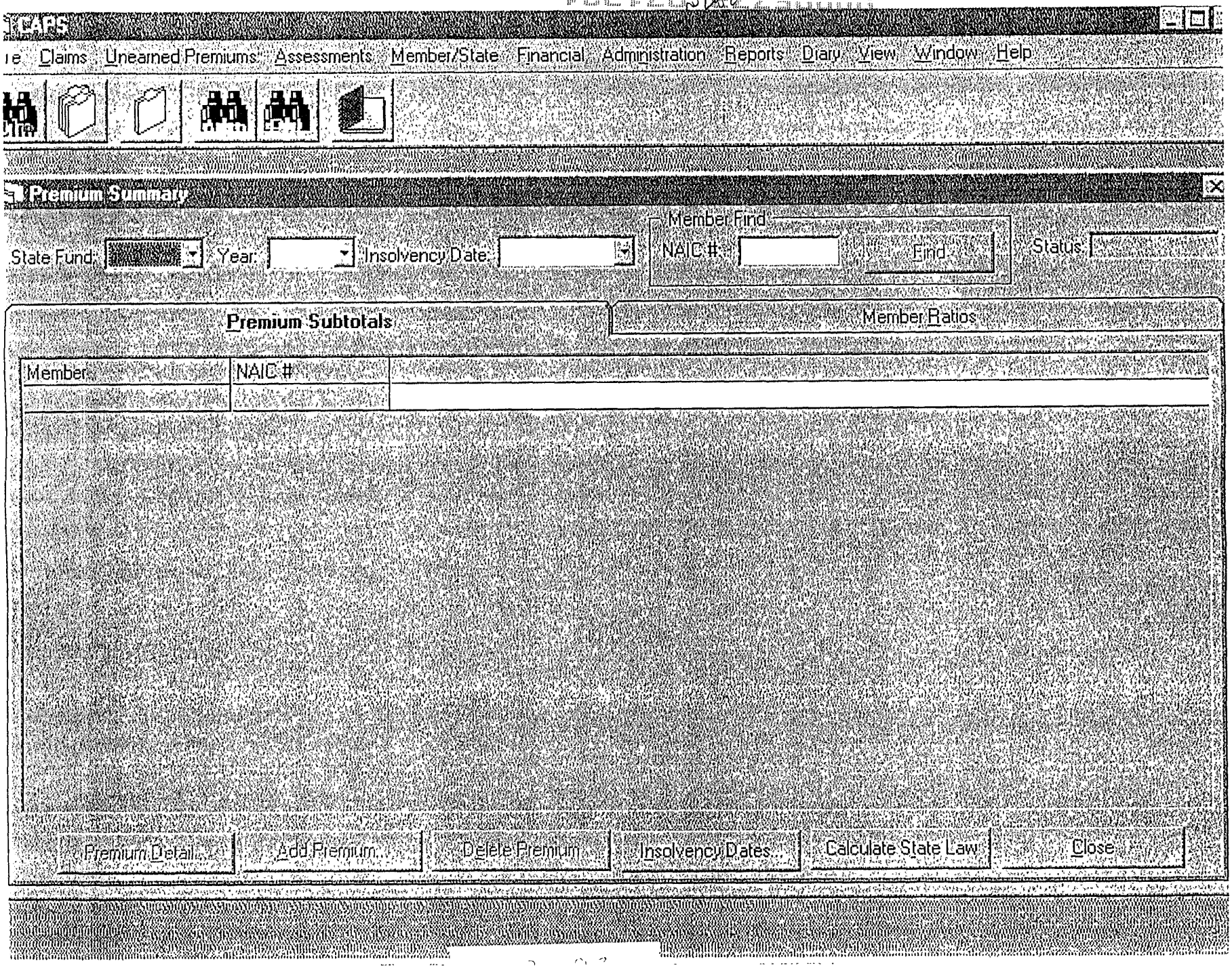

File Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Unearned Premium Policy Detail
State Fund:
Insolvency:
UP Policy Number:
Insured
Insured #1 - First Name:
MI:
Last Name:
Insured #2 - First Name:
MI:
Last Name:
D/B/A or Company:
Policy
Insured
Premium Calculation
Payment History
Line of Insurance:
Total Premium:
Premium Paid:
Gross Unearned Premium:
Remaining Deductible:
Payments Issued:
Override Amount:
Unearned Premium to be Paid:
Reserve:
State Deductible:
State Cap:
Deductible Applied:
Pending Amount:
Pay
Non-Payment Letter
Payments Issued Letter
New
Search...
Notes
Diary
Delete
Print
Save
Close


Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
State Fund:
Insolvency:
UP Policy Number:
Insured
Insured #1 - First Name:
MI:
Last Name:
Insured #2 - First N
D/B/A or Company
Unearned Premium Policy Search
State Fund:
Insolvency:
UP Policy Number:
Insured - First Name:
MI:
Last Name:
Insured - D/B/A or Company:
Search...
Close
Policy
Line of Insurance:
Total Premium:
Premium Paid:
Gross Unearned F
Remaining Deduc
Payments Issued:
Override Amount:
Unearned Premium to be Paid:
Reserve:
Deductible Applied:
Pending Amount:
Pay...
ent History
Payment Letter
hts Issued Letter
New
Search...
Notes...
Diary
Delete
Print
Save
Close


CAPS
e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Unearned Premium Policy Detail
State Fund: MA - Massachusetts Insurers Insolvency Fund
Insolvency: 143 - AMERICAN MUTUAL INSURANCE OF BOSTON
UP Policy Number: C240362018
Insured
Insured #1 - First Name: MI: Last Name: SMITKUMAR B KADAKIA
Insured #2 - First Name: MI: Last Name:
D/B/A or Company: SMITKUMAR B KADAKIA
Policy
Insured
Premium Calculation
Payment History
Date | Amount | Payee/Description | Check # | Status | Reason | UP Handler | Entered By
06/14/1989 | $289.00 | PAYMENT REVERSED ON 11/29 | 34146 | REVERSED | DA1 | DA1
01/24/1991 | $0.00 | SMITKUMAR B KADAKIA, - SMITI | | RECOVERY | OTHREC
Reverse
Recovery
Delete
New
Search...
Notes...
Diary
Delete
Print
Save
Close
12/02/2000
11:25 AM


File Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Diary Detail
State Fund:
Massachusetts Insurers Insolvency Fund
Insolvency:
AMERICAN MUTUAL INSURANCE OF BOSTON
Policy Number:
C24036201B
Insured:
SMITKUMAR B KADAKIA SMITKUMAR B KADAKIA
Claimant:
Claim Number:
Date of Loss:
User ID:
JS2
Reviewer ID:
Diary Date:
12/08/2000
Review Date:
01/22/2001
OR
Number of Days:
Comments:
New Unearned Premium
Diary History List:
Diary Date
Review Date
Comments
Save
Cancel
Close
New
Line of Insurance
Total Premium:
Premium Paid:
Gross Unearned:
Remaining Dedu
Payments Issued
Override Amount
Unearned Premi
Reserve:
12/08/2000
11:26 AM


File Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
New... Ctrl+G
Search... Ctrl+A
Premiums...
Allocate / Approve Assessment...
Process Assessment...
Refund Search...
NAIC Data Load...
12/08/2000
11:36 AM
tatus:


CAPS
Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Premium Summary
State Fund:
Year:
Insolvency Date:
Member Find
NAIC #:
Find
Status:
Premium Subtotals
Member Ratios
Member
NAIC #
Premium Detail...
Add Premium...
Delete Premium
Insolvency Dates...
Calculate State Law
Close

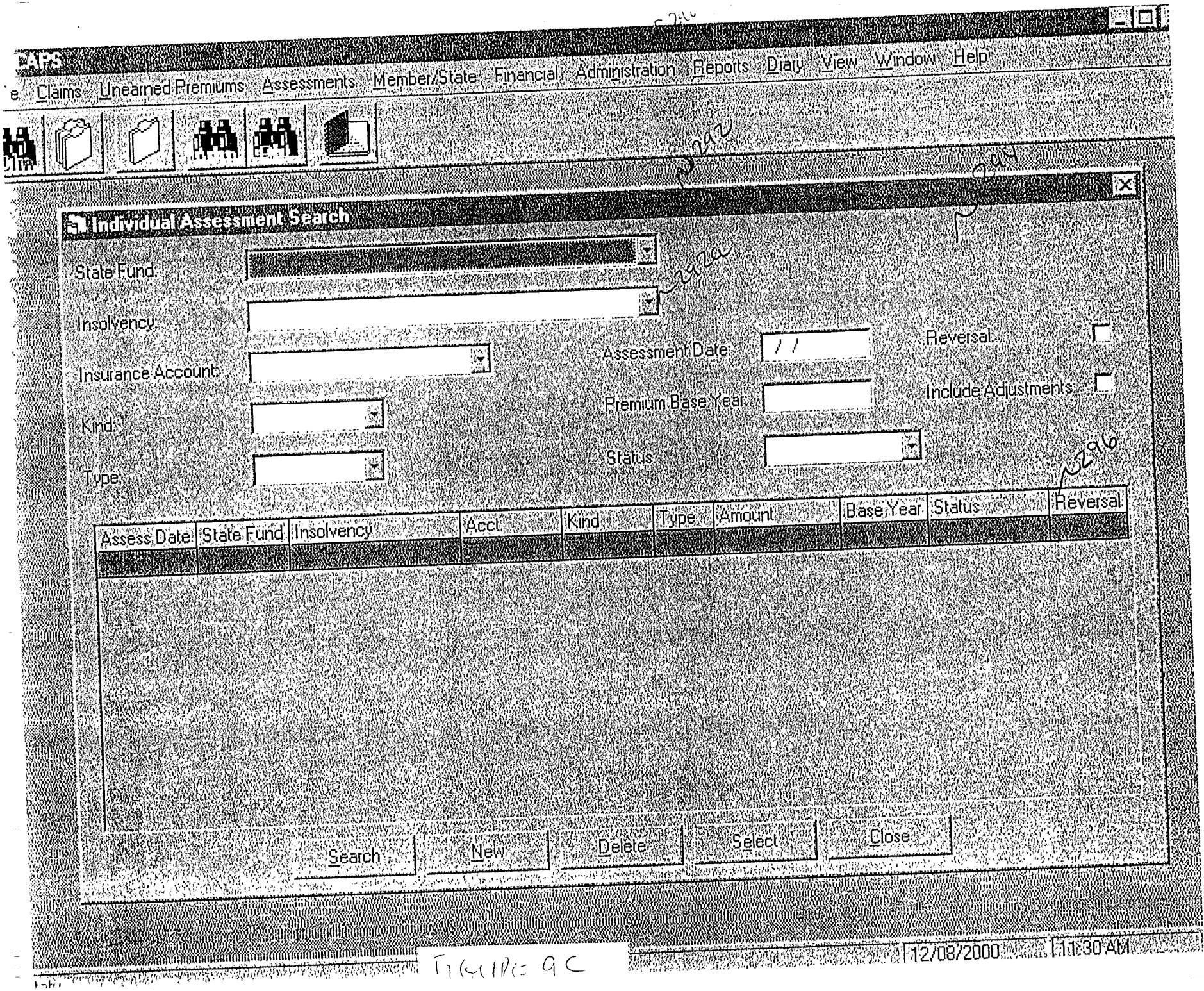

APS
Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Individual Assessment Search
State Fund:
Insolvency:
Insurance Account:
Kind:
Type:
Assessment Date:
Premium Base Year:
Status:
Reversal
Include Adjustments
Assess Date
State Fund
Insolvency
Acct
Kind
Type
Amount
Base Year
Status
Reversal
Search
New
Delete
Select
Close
12/08/2000
11:30 AM

FIGURE 9C

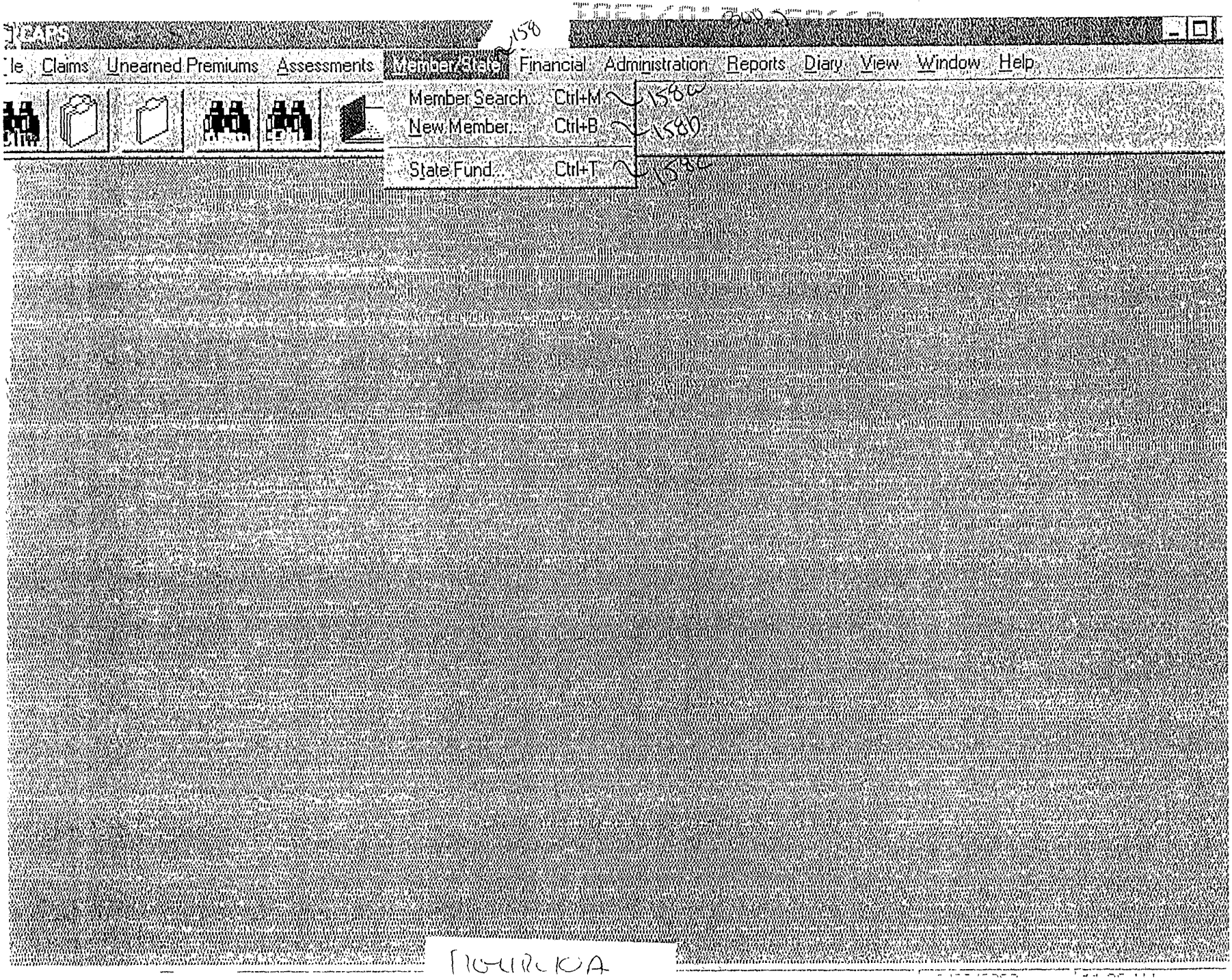
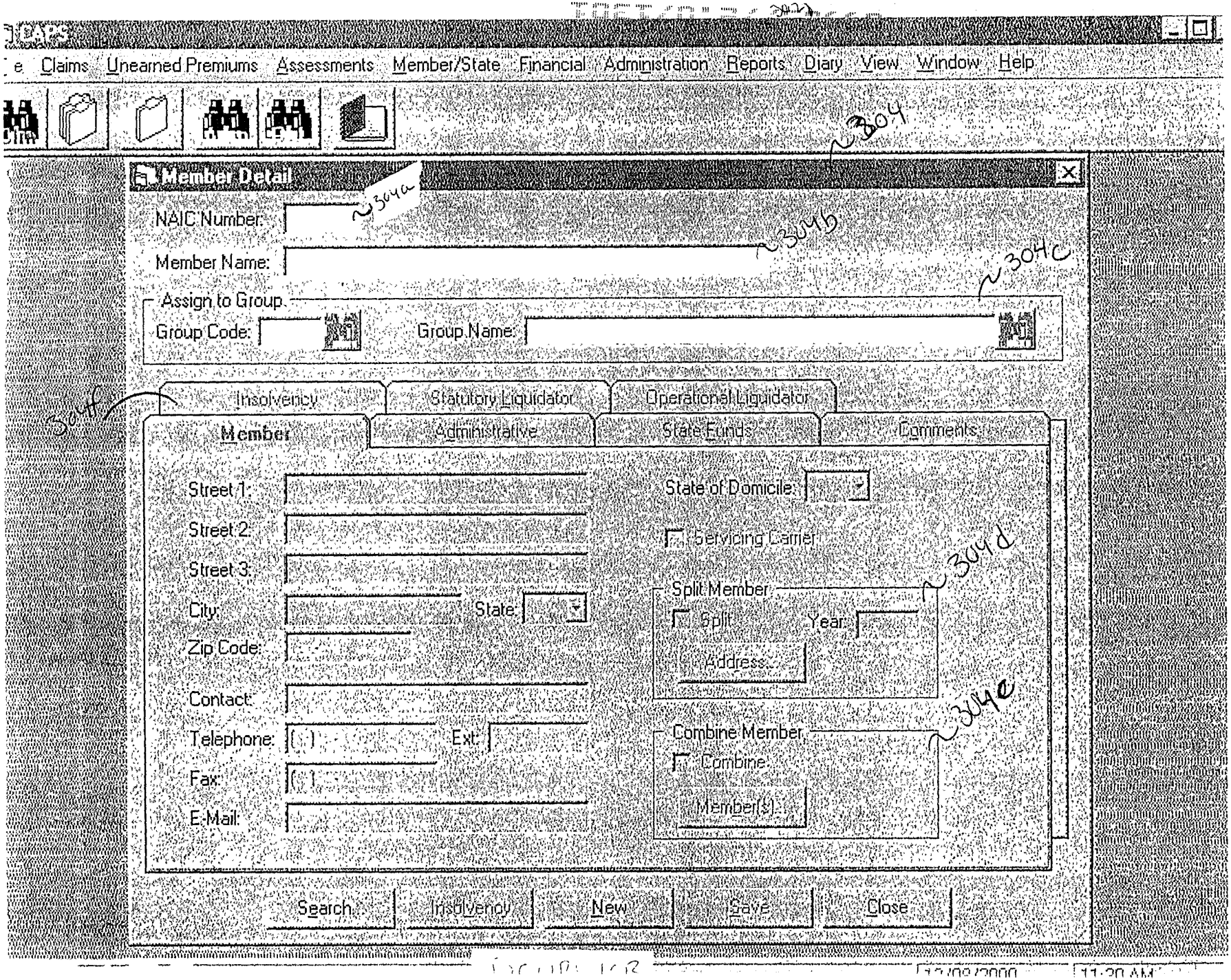

Claims
Unearned Premiums
Assessments
Financial
Administration
Reports
Diary
View
Window
Help
Member Search... Ctrl+M
New Member... Ctrl+B
State Fund... Ctrl+T

FIGURE 4A


Claims
Unearned Premiums
Assessments
Member/State
Financial
Administration
Reports
Diary
View
Window
Help
Member Detail
NAIC Number:
Member Name:
Assign to Group
Group Code:
Group Name:
Insolvency
Statutory Liquidator
Operational Liquidator
Member
Administrative
State Funds
Comments
Street 1:
Street 2:
Street 3:
City:
State:
Zip Code:
Contact:
Telephone:
Ext:
Fax:
E-Mail:
State of Domicile:
Servicing Carrier
Split Member
Split
Year
Address...
Combine Member
Combine
Member(s)...
Search
Insolvency
New
Save
Close

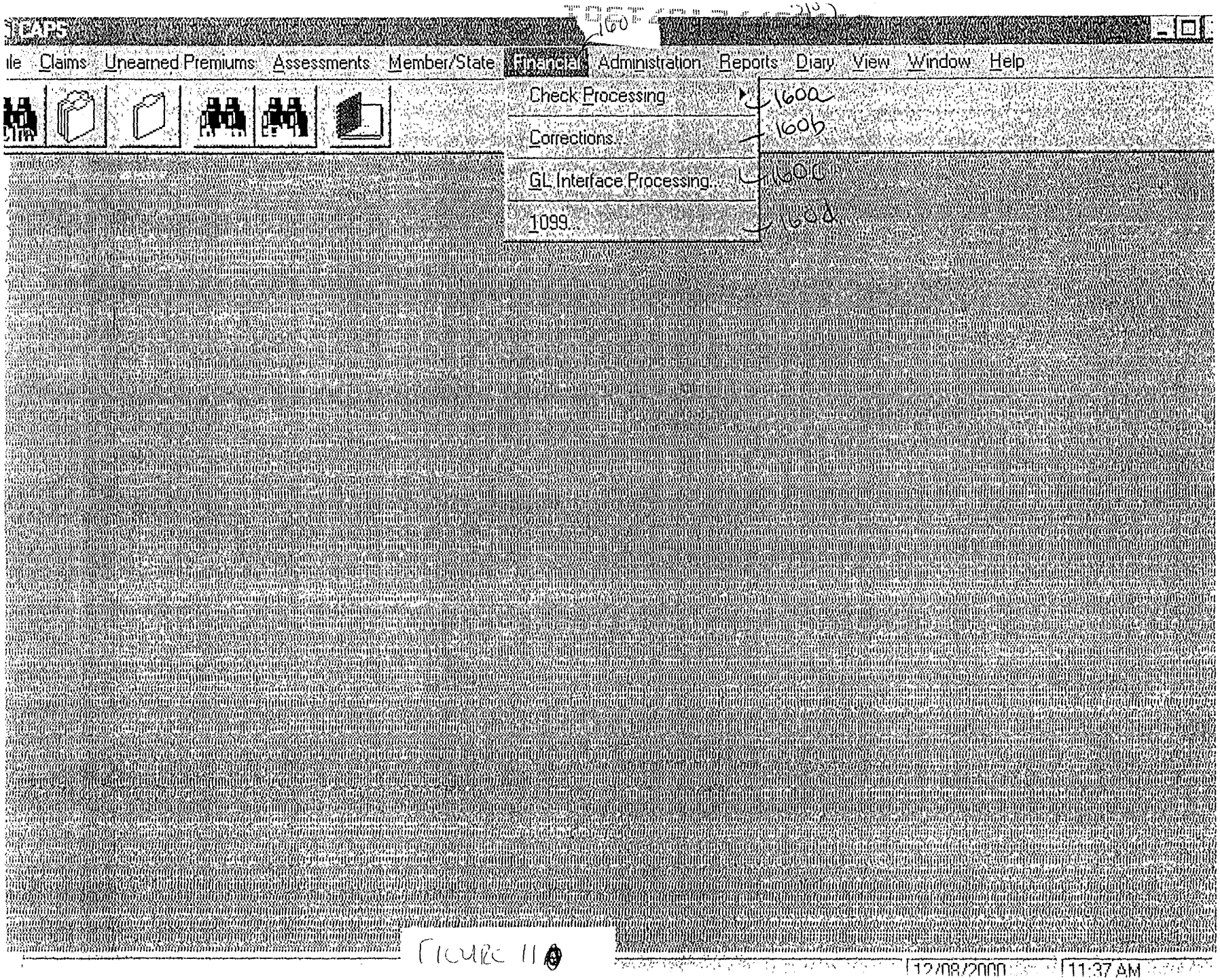

CAPS
ile Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Check Processing
Corrections...
GL Interface Processing...
1099...
1600
1600a
1600b
1600c
1600d
12/08/2000
11:37 AM

FIGURE 11

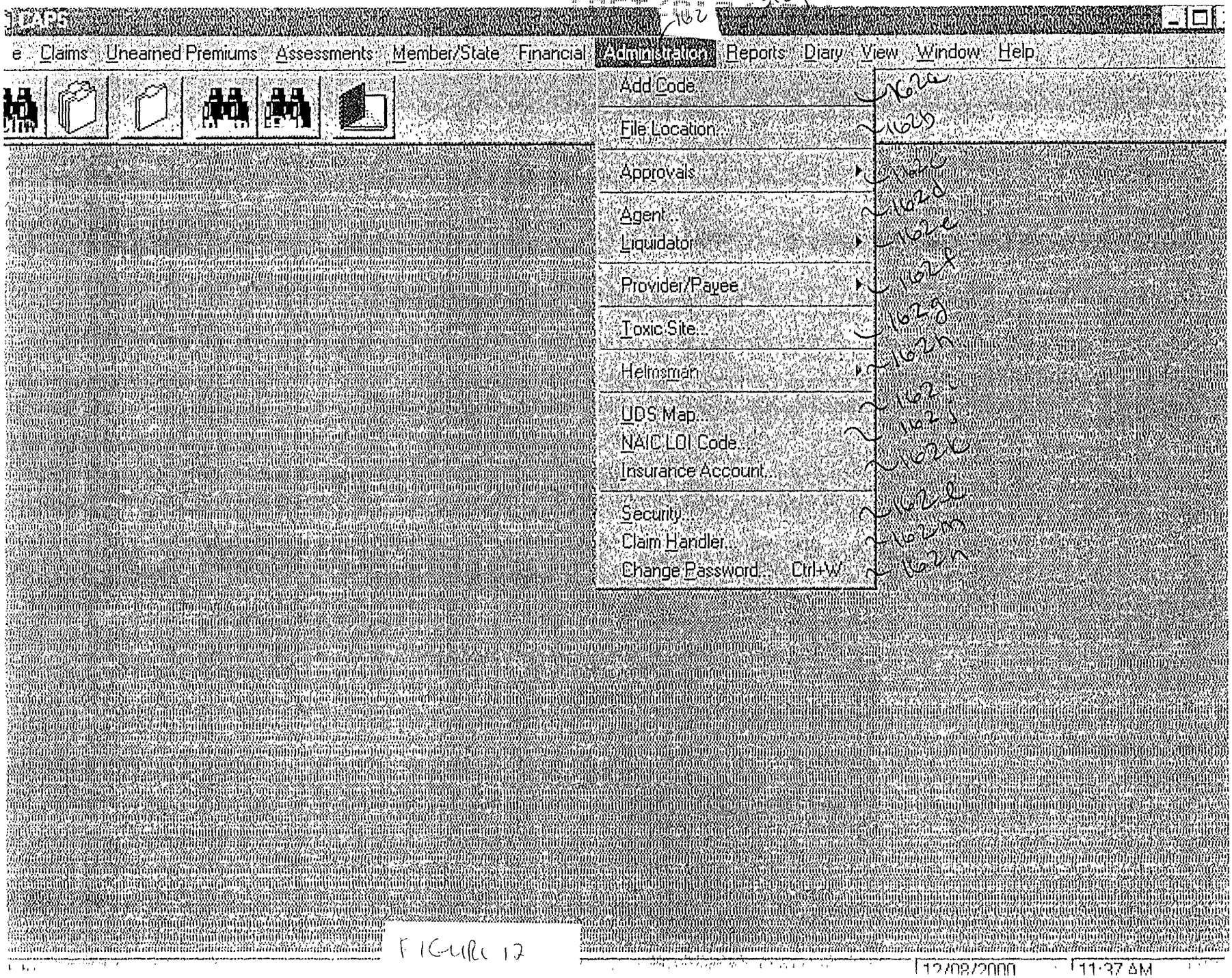

e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Add Code...
File Location...
Approvals
Agent...
Liquidator
Provider/Payee
Toxic Site...
Helmsman
UDS Map...
NAIC LOI Code...
Insurance Account...
Security...
Claim Handler...
Change Password... Ctrl+W
12/08/2000
11:37 AM

FIGURE 12

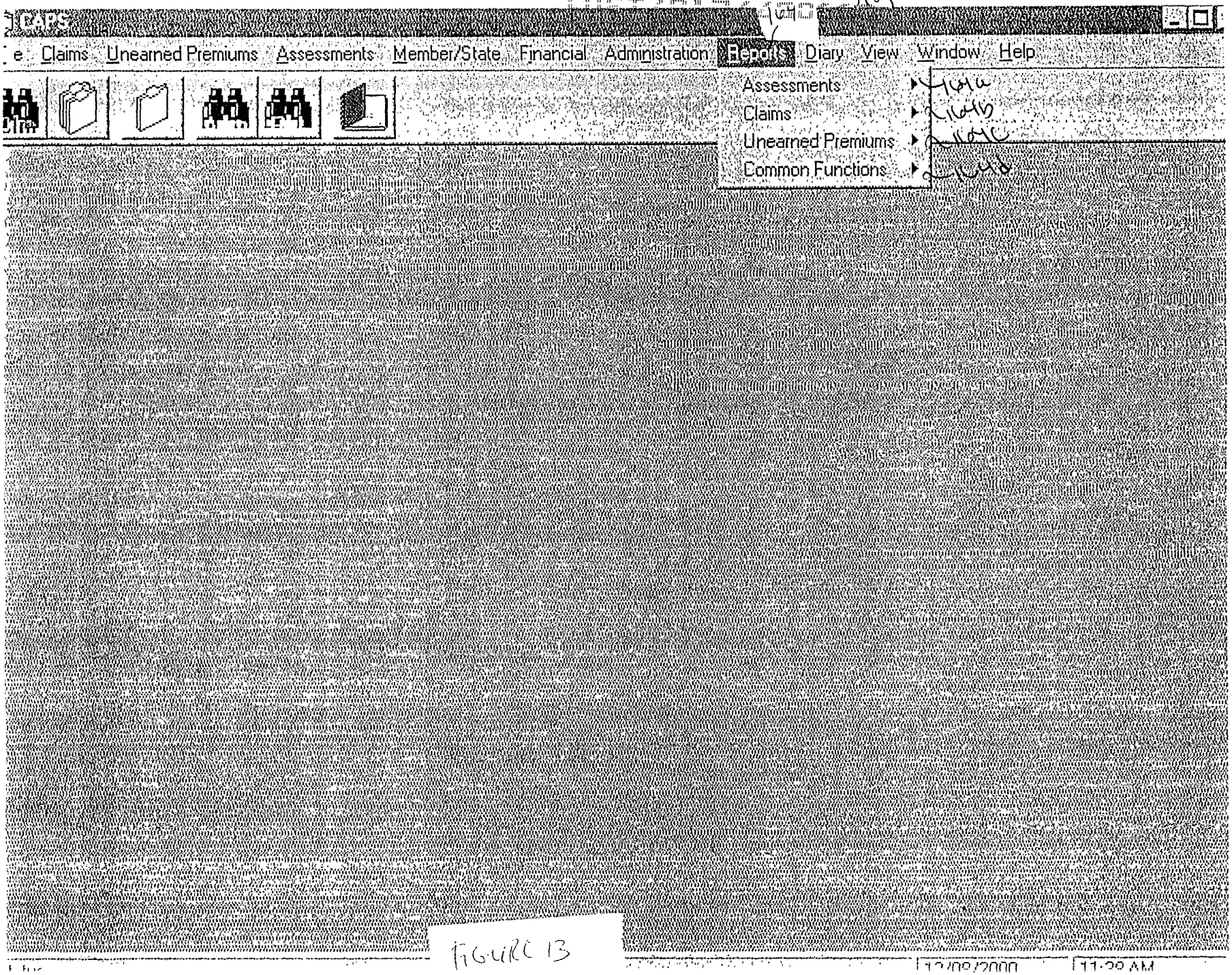
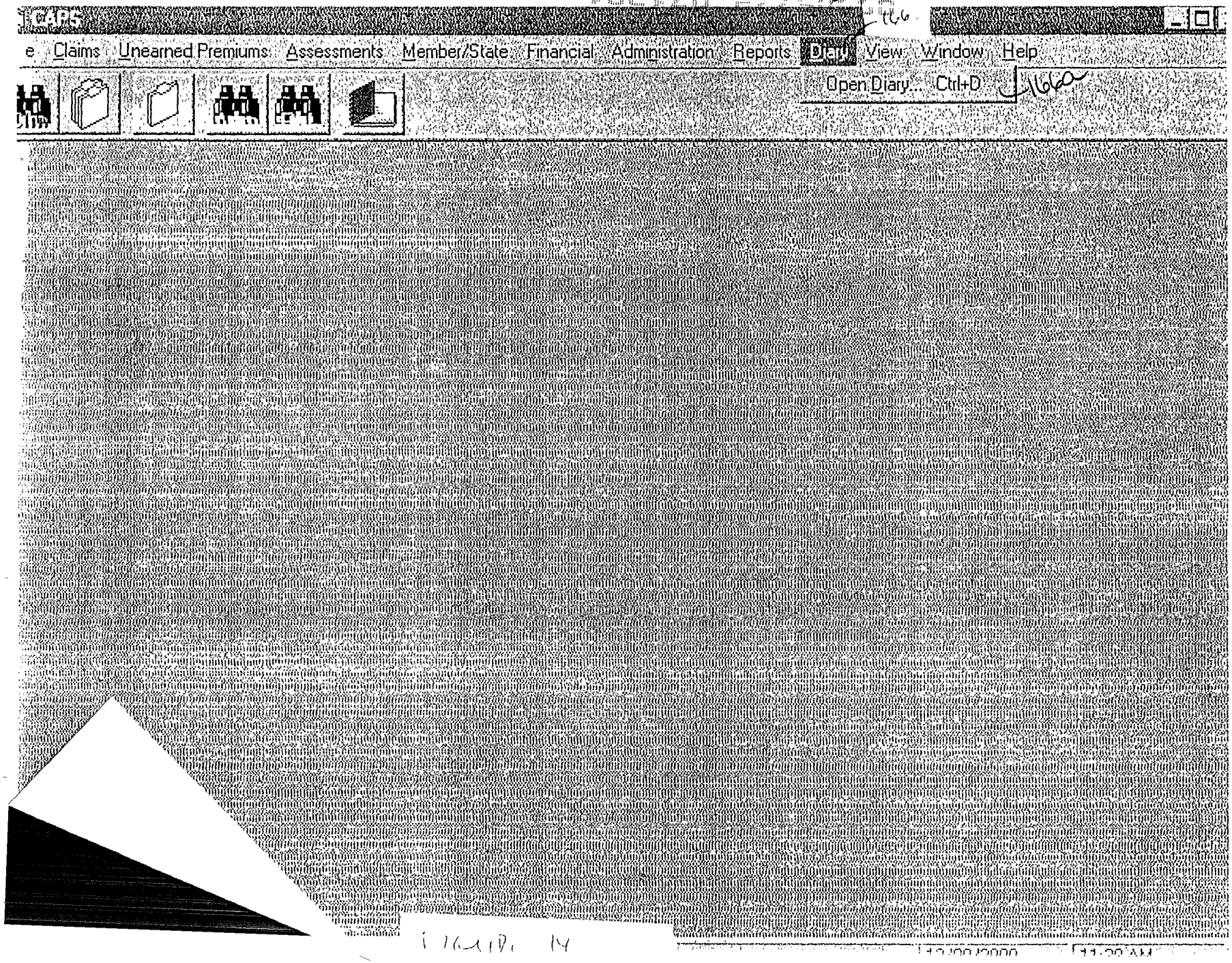
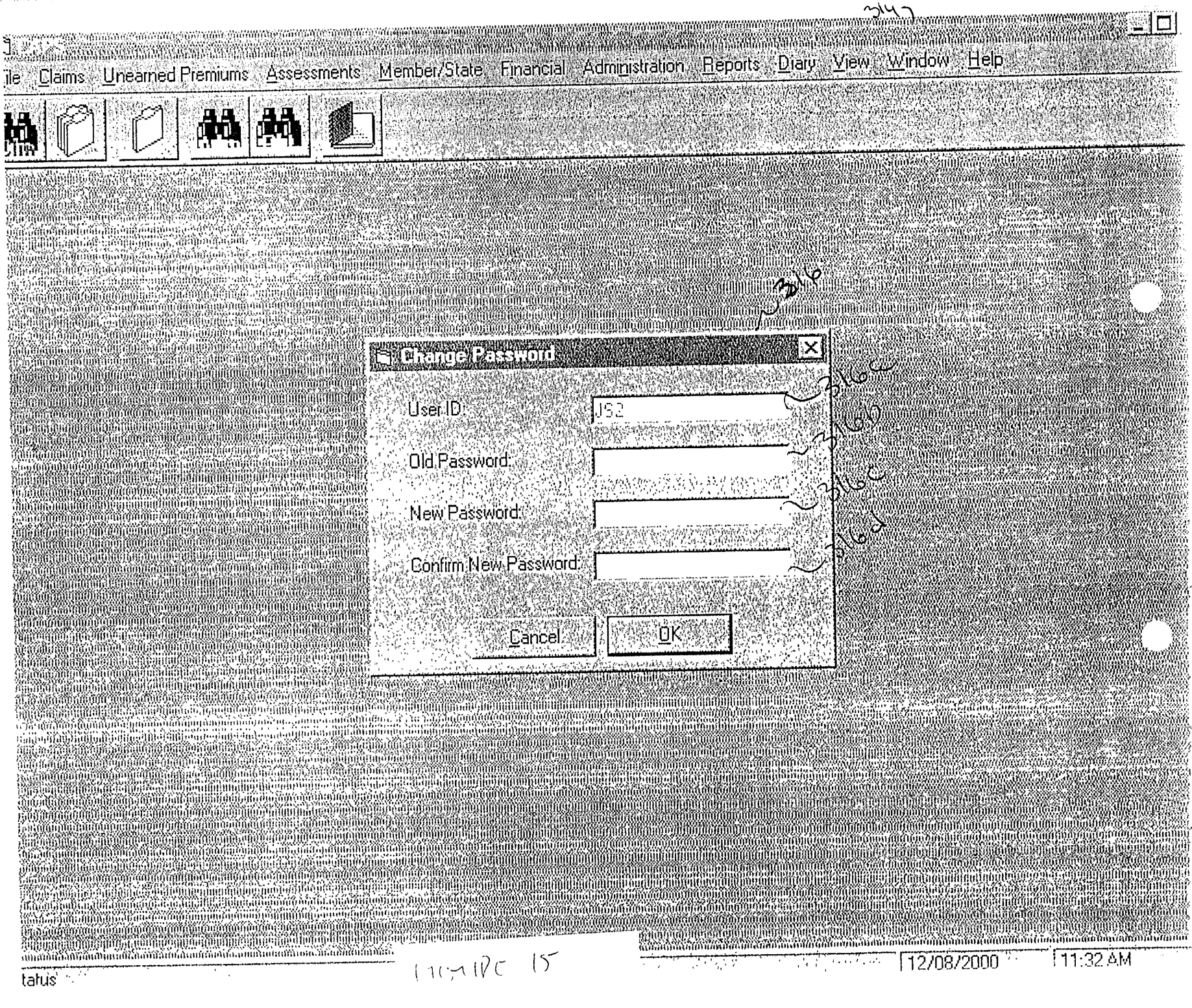
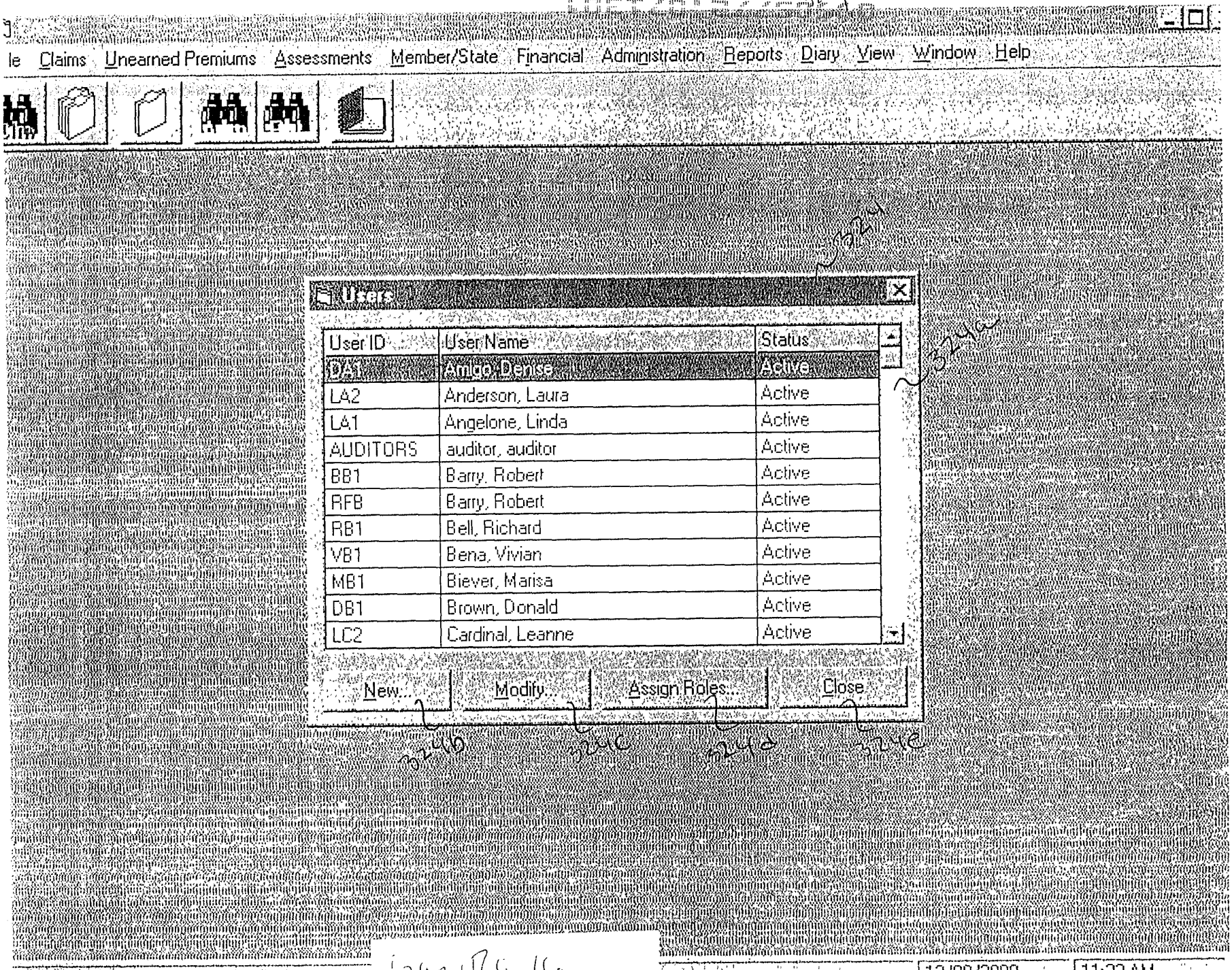
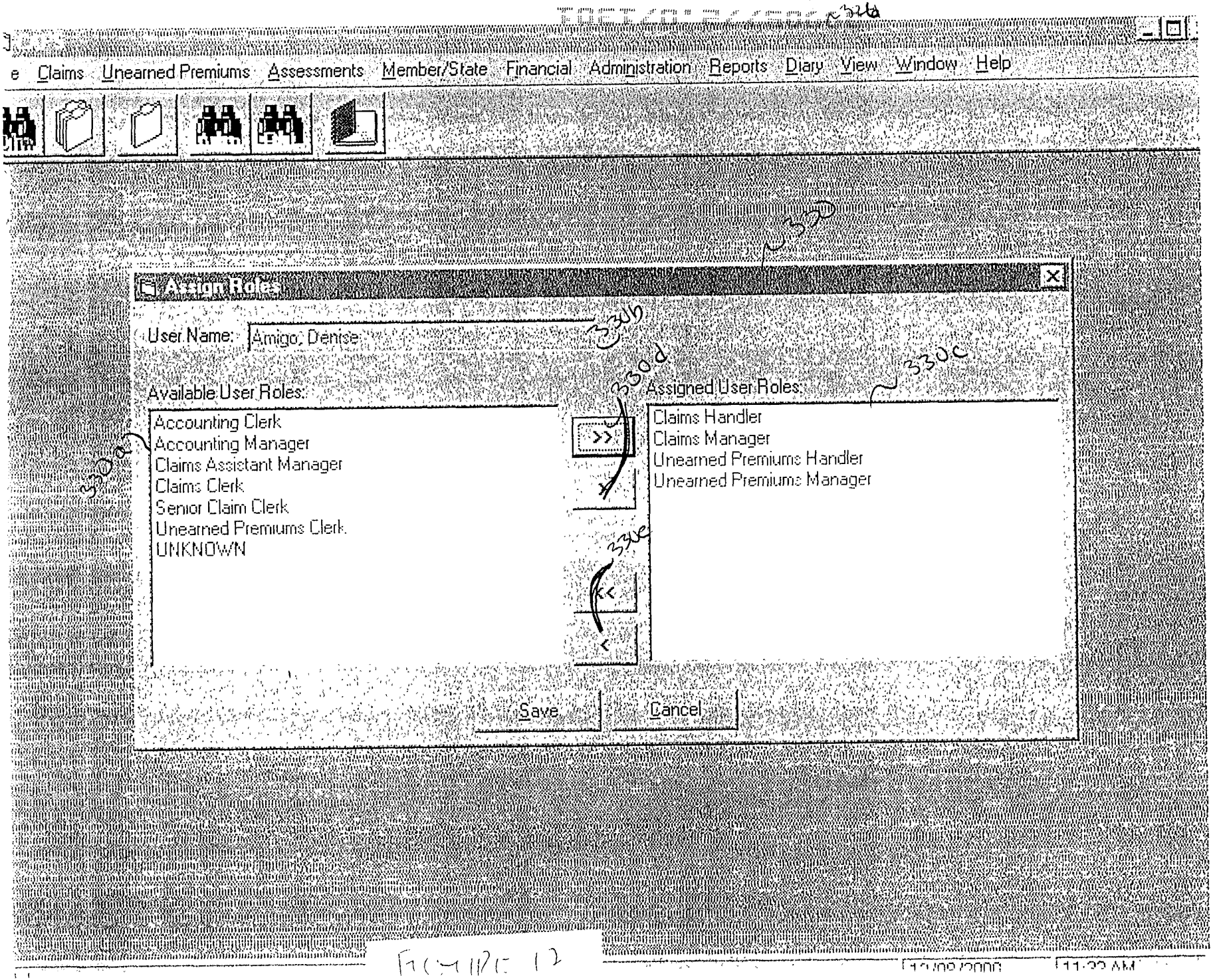

CAFS
e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Assessments
Claims
Unearned Premiums
Common Functions

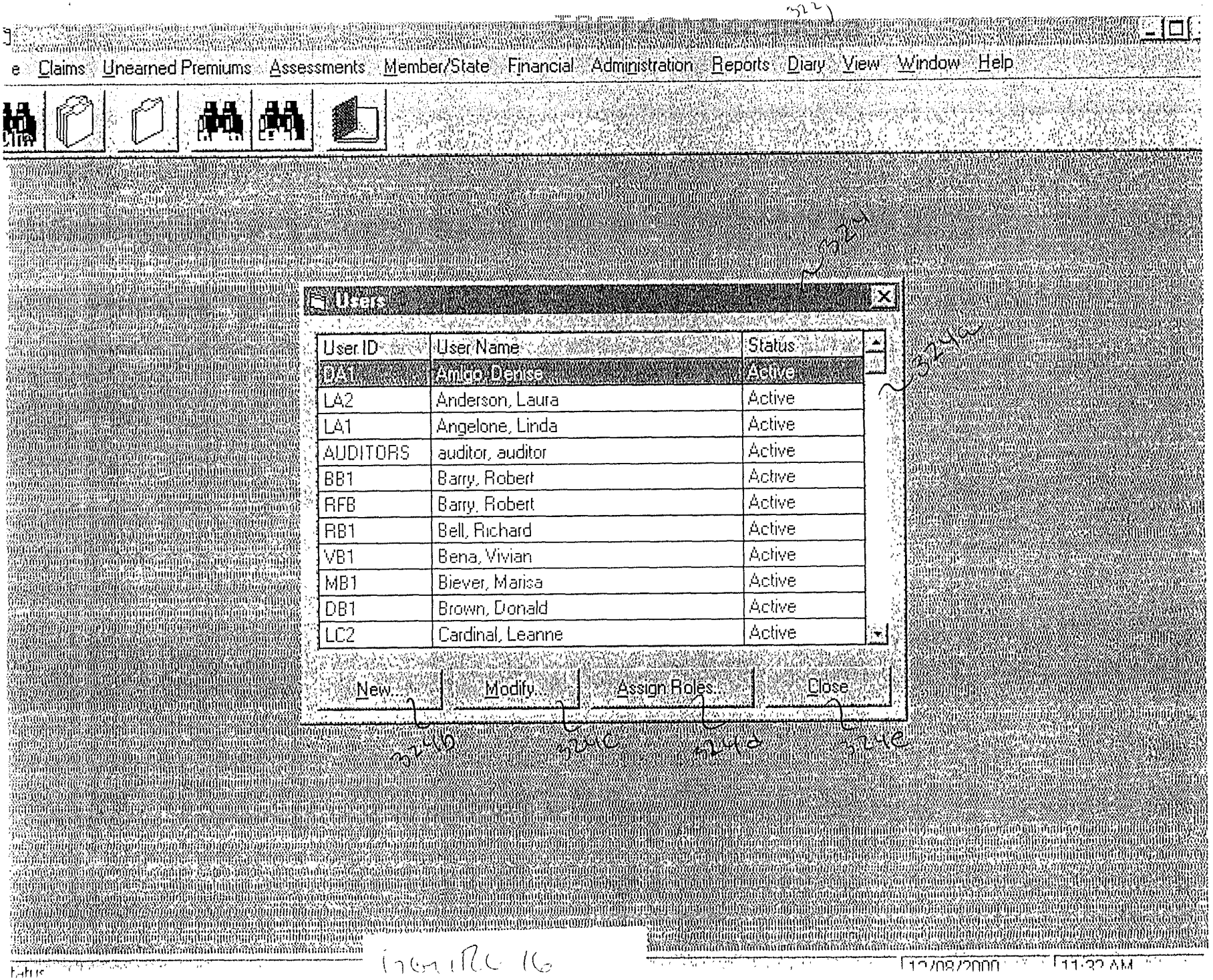
FIGURE 13

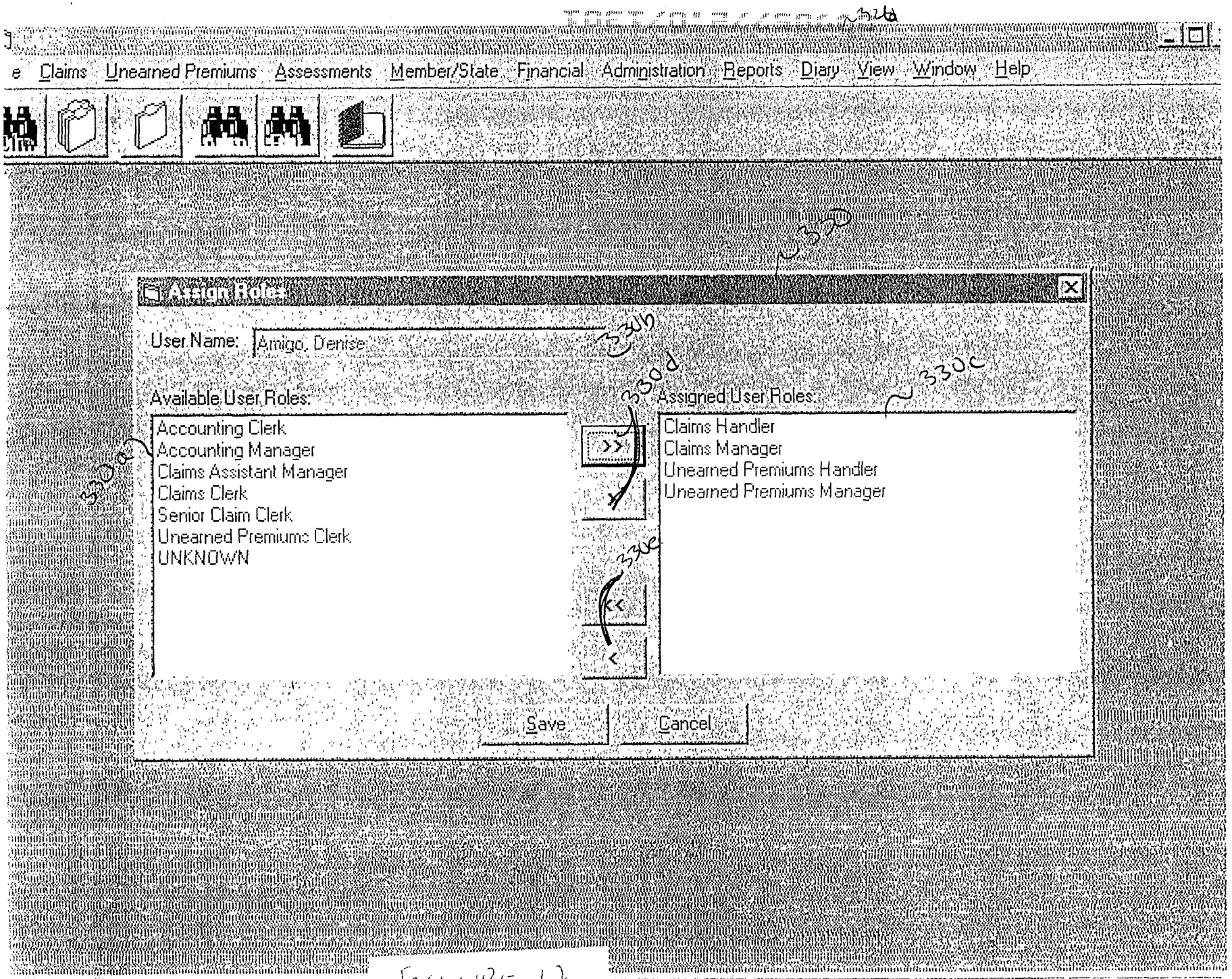

e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Open Diary... Ctrl+D


ile Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Change Password
User ID:
JS2
Old Password:
New Password:
Confirm New Password:
Cancel
OK
12/08/2000
11:32 AM
tatus


le Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Users
User ID
User Name
Status
DA1
Amigo, Denise
Active
LA2
Anderson, Laura
Active
LA1
Angelone, Linda
Active
AUDITORS
auditor, auditor
Active
BB1
Barry, Robert
Active
RFB
Barry, Robert
Active
RB1
Bell, Richard
Active
VB1
Bena, Vivian
Active
MB1
Biever, Marisa
Active
DB1
Brown, Donald
Active
LC2
Cardinal, Leanne
Active
New...
Modify...
Assign Roles...
Close
12/08/2000
11:32 AM


e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Assign Roles
User Name: Amigo, Denise
Available User Roles:
Accounting Clerk
Accounting Manager
Claims Assistant Manager
Claims Clerk
Senior Claim Clerk
Unearned Premiums Clerk
UNKNOWN
>>
<<
<
Assigned User Roles:
Claims Handler
Claims Manager
Unearned Premiums Handler
Unearned Premiums Manager
Save
Cancel
330a
330b
330c
330d
330e
332
FIGURE 12


e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Users
User ID
User Name
Status
DA1 Amigo, Denise Active
LA2 Anderson, Laura Active
LA1 Angelone, Linda Active
AUDITORS auditor, auditor Active
BB1 Barry, Robert Active
RFB Barry, Robert Active
RB1 Bell, Richard Active
VB1 Bena, Vivian Active
MB1 Biever, Marisa Active
DB1 Brown, Donald Active
LC2 Cardinal, Leanne Active
New...
Modify...
Assign Roles...
Close


e Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
Assign Roles
User Name: Amigo, Denise
Available User Roles:
Accounting Clerk
Accounting Manager
Claims Assistant Manager
Claims Clerk
Senior Claim Clerk
Unearned Premiums Clerk
UNKNOWN
>>
<<
Assigned User Roles:
Claims Handler
Claims Manager
Unearned Premiums Handler
Unearned Premiums Manager
Save
Cancel

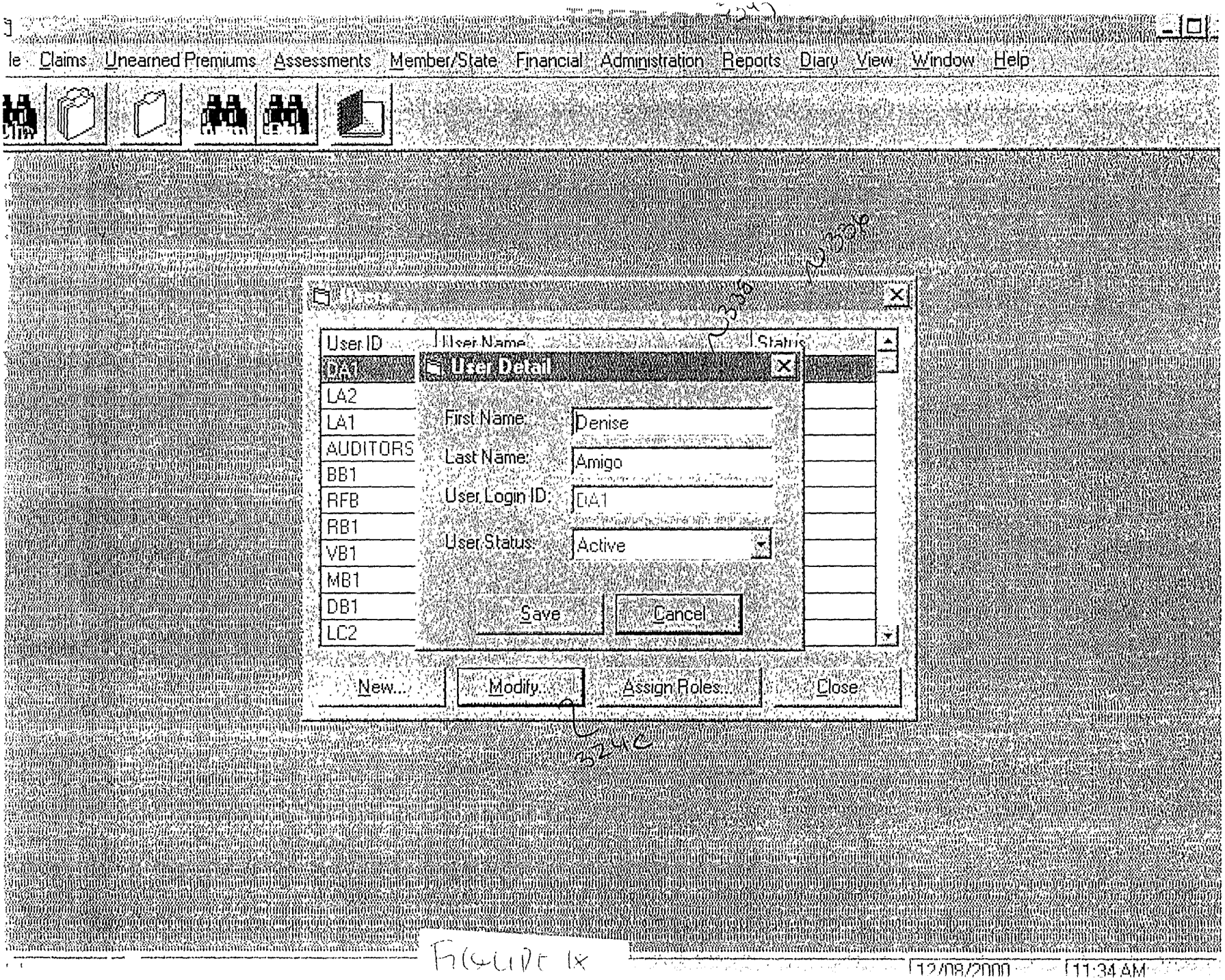

le Claims Unearned Premiums Assessments Member/State Financial Administration Reports Diary View Window Help
User ID
User Name
Status
DA1
LA2
LA1
AUDITORS
BB1
RFB
RB1
VB1
MB1
DB1
LC2
User Detail
First Name:
Denise
Last Name:
Amigo
User Login ID:
DA1
User Status:
Active
Save
Cancel
New...
Modify...
Assign Roles...
Close
12/08/2000
11:34 AM

Figure 1x

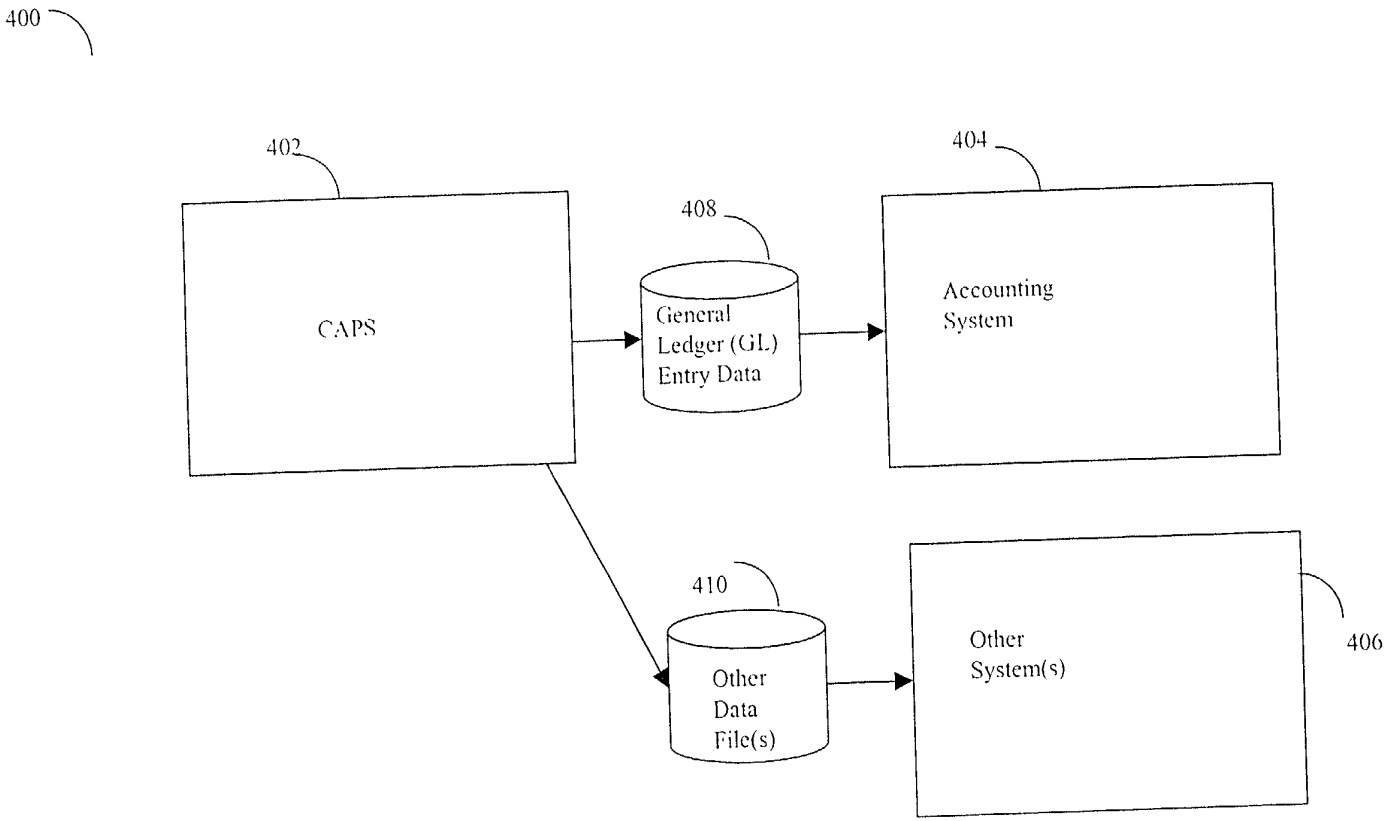

400
402
CAPS
408
General
Ledger (GL)
Entry Data
404
Accounting
System
410
Other
Data
File(s)
Other
System(s)
406

FIGURE 19

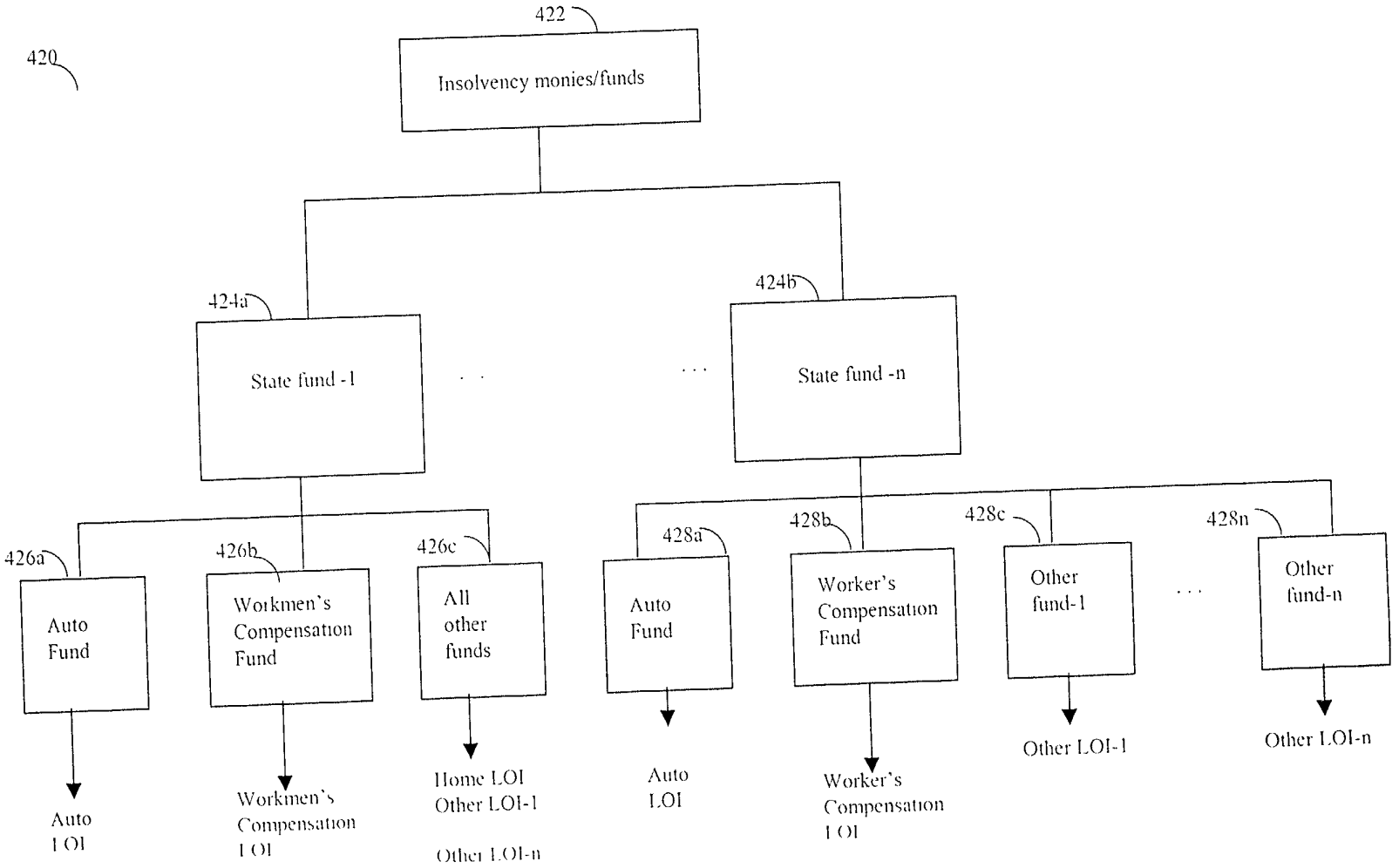

420
422
Insolvency monies/funds
424a
State fund -1
424b
State fund -n
426a
Auto Fund
426b
Workmen's Compensation Fund
426c
All other funds
428a
Auto Fund
428b
Worker's Compensation Fund
428c
Other fund-1
428n
Other fund-n
Auto LOI
Workmen's Compensation LOI
Home LOI
Other LOI-1
Other LOI-n
Auto LOI
Worker's Compensation LOI
Other LOI-1
Other LOI-n

FIGURE 20

500

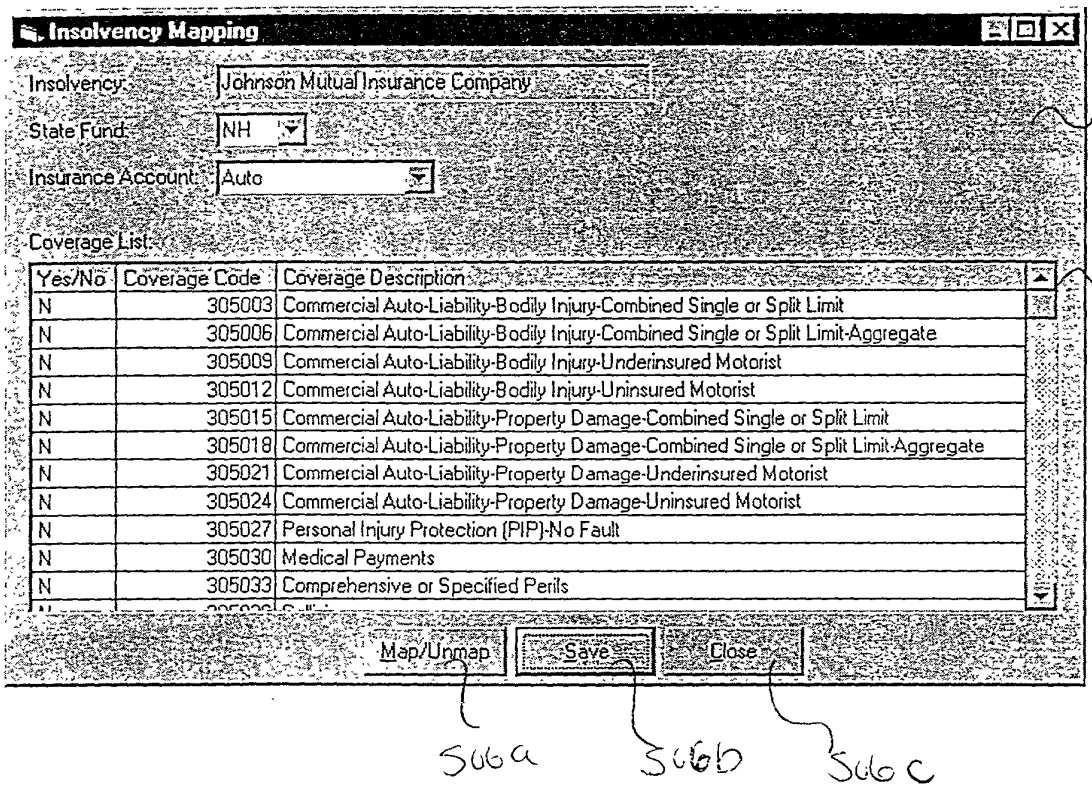


FIGURE 21

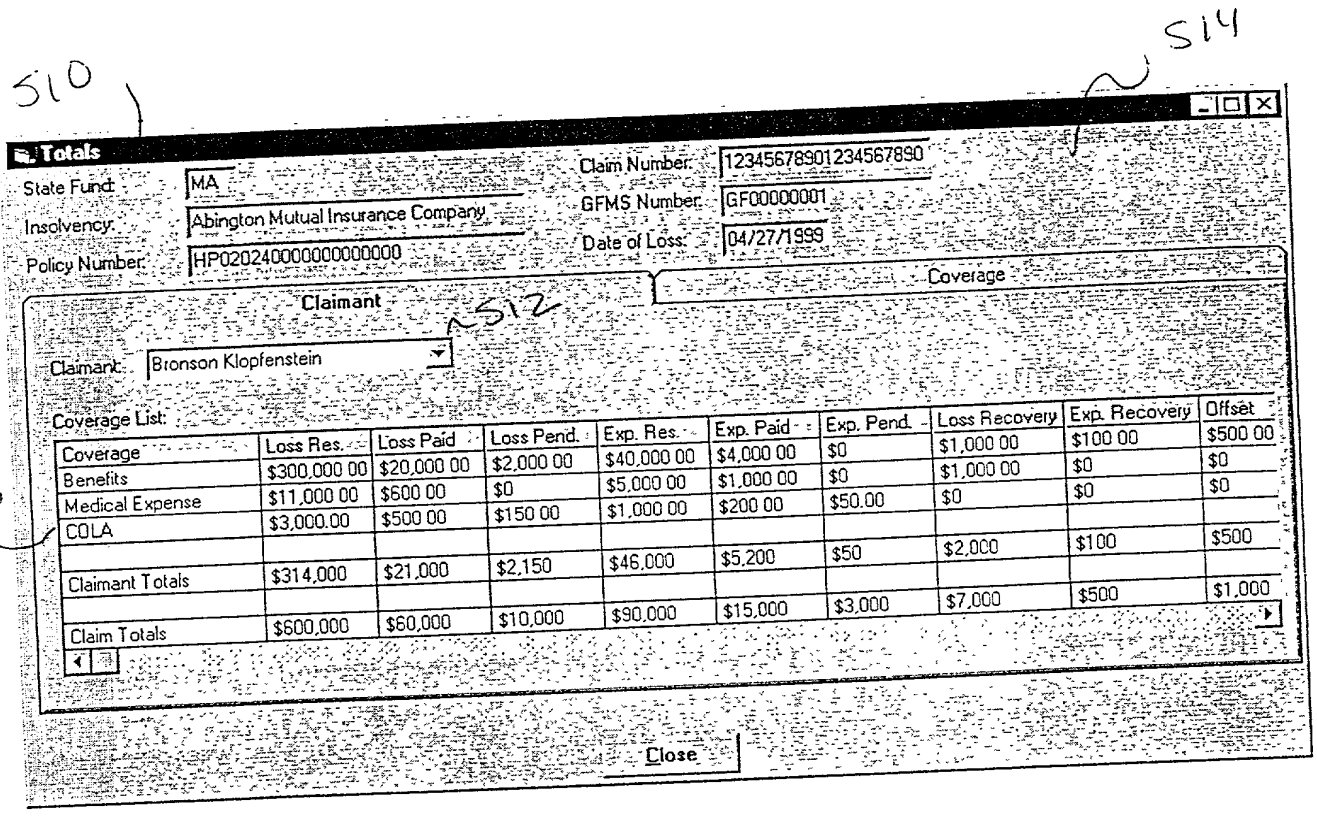
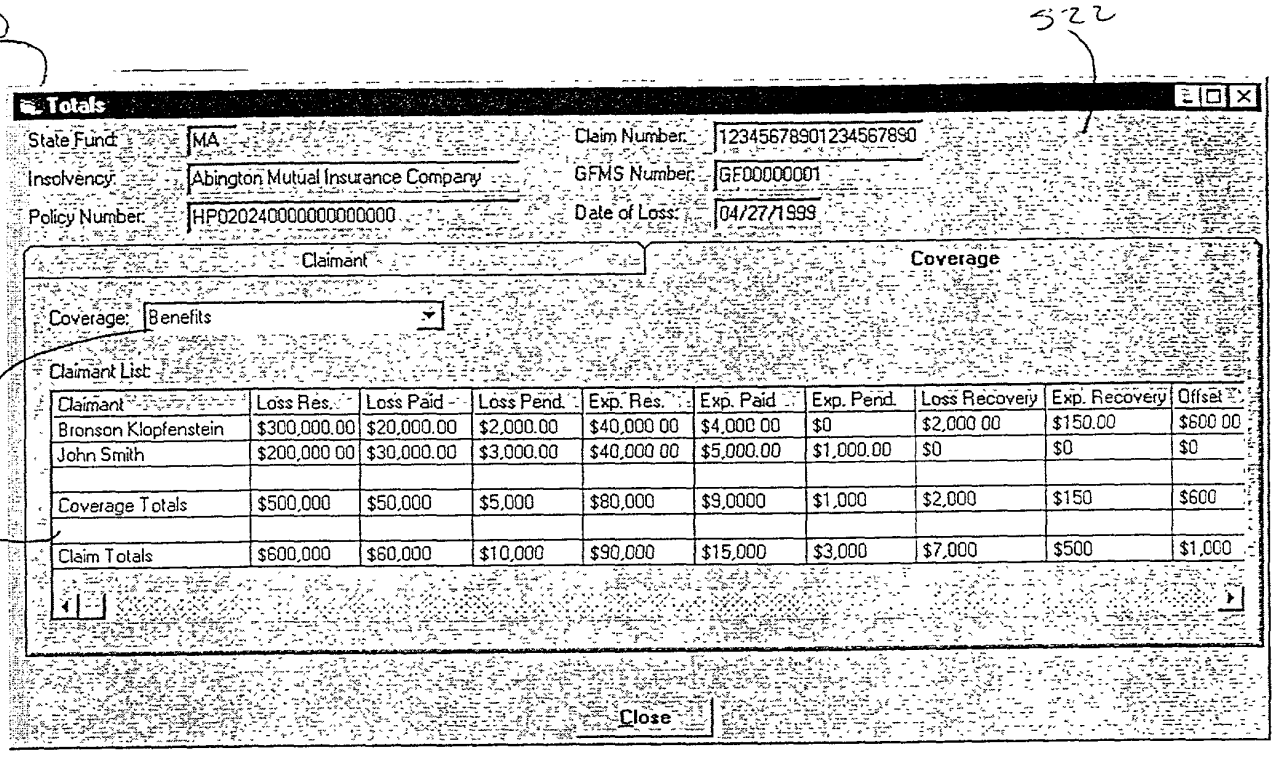

510
514
Totals
State Fund:
MA
Insolvency:
Abington Mutual Insurance Company
Policy Number:
HP0202400000000000000
Claim Number:
12345678901234567890
GFMS Number:
GF00000001
Date of Loss:
04/27/1999
Claimant
Coverage
512
Claimant:
Bronson Klopfenstein
Coverage List:
516
Coverage
Loss Res.
Loss Paid
Loss Pend.
Exp. Res.
Exp. Paid
Exp. Pend.
Loss Recovery
Exp. Recovery
Offset
Benefits
$300,000 00
$20,000 00
$2,000 00
$40,000 00
$4,000 00
$0
$1,000 00
$100 00
$500 00
Medical Expense
$11,000 00
$600 00
$0
$5,000 00
$1,000 00
$0
$1,000 00
$0
$0
COLA
$3,000.00
$500 00
$150 00
$1,000 00
$200 00
$50.00
$0
$0
$0
Claimant Totals
$314,000
$21,000
$2,150
$46,000
$5,200
$50
$2,000
$100
$500
Claim Totals
$600,000
$60,000
$10,000
$90,000
$15,000
$3,000
$7,000
$500
$1,000
Close

FIGURE 22



Claimant	Loss Res.	Loss Paid	Loss Pend.	Exp. Res.	Exp. Paid	Exp. Pend.	Loss Recovery	Exp. Recovery	Offset
Bronson Klopfenstein	$300,000.00	$20,000.00	$2,000.00	$40,000.00	$4,000.00	$0	$2,000.00	$150.00	$600.00
John Smith	$200,000.00	$30,000.00	$3,000.00	$40,000.00	$5,000.00	$1,000.00	$0	$0	$0
Coverage Totals	$500,000	$50,000	$5,000	$80,000	$9,0000	$1,000	$2,000	$150	$600
Claim Totals	$600,000	$60,000	$10,000	$90,000	$15,000	$3,000	$7,000	$500	$1,000

FIGURE 23

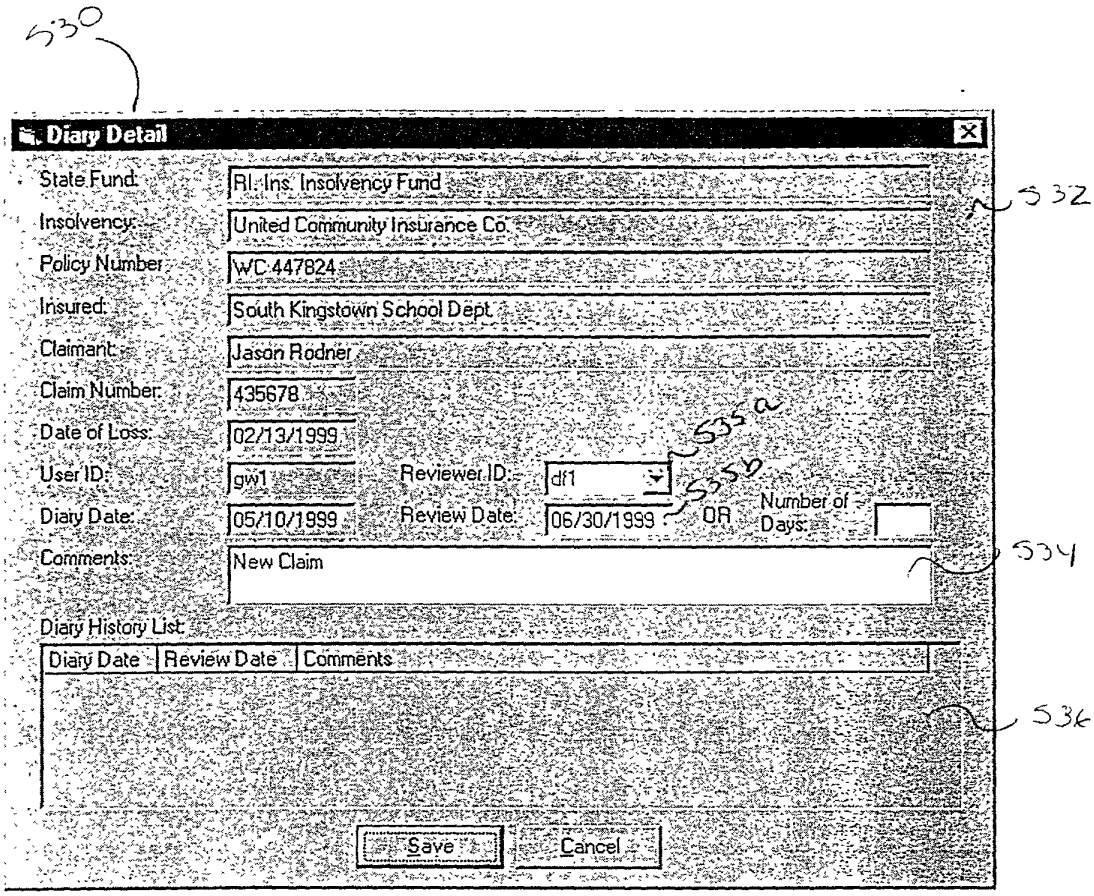

530
Diary Detail
State Fund:
RI. Ins. Insolvency Fund
Insolvency:
United Community Insurance Co.
Policy Number
WC 447824
Insured:
South Kingstown School Dept.
Claimant:
Jason Rodner
Claim Number:
435678
Date of Loss:
02/13/1999
User ID:
gw1
Reviewer ID:
df1
Diary Date:
05/10/1999
Review Date:
06/30/1999
OR
Number of Days:
Comments:
New Claim
Diary History List:
Diary Date
Review Date
Comments
Save
Cancel
532
534
536

FIGURE 24

[redacted]	Action	Diary Type	Claim	Unearned Premium	Generic+
Approval	• when a claim payment is deleted	Claim payment approval	✓		
Approval	• when an unearned premium payment is deleted	Up payment approval		✓	
Approval	• when the closing of a claim is rejected	Claim closing approval	✓		
Approval	• when the closing of an unearned premium is rejected	Up closing approval		✓	
Claim	• when a claim status is changed to "close"	Claim status changed	✓		
Unearned Premium	• when an unearned premium status is changed to "close"	Up status changed		✓	
LOI	• when a LOI is modified	Loi modified			✓
LOI	• when a LOI is deleted	Loi deleted			✓
Notes	• when a claim note is sent to a reviewer	Claim note	✓[1]		
Notes	• when a claimant note is sent to a reviewer	Claimant note	✓		
Notes	• when an unearned premium note is sent to a reviewer	Up note		✓	
Reserve	• when a reserve is adjusted for a claimant	Claim reserve	✓		
Reserve	• when a reserve is adjusted for a unearned premium policy	Up reserve		✓	
Taxpayer	• when a new taxpayer is added	New taxpayer			✓
Taxpayer	• when a taxpayer is modified	Modify taxpayer			✓
Claimant	• When the user enters or adjusts a reserve above a user's preset reserve aggregate or increment limit, then a diary is sent to a Claim Manager for approval.	Claimant reserve above limit	✓		

FIGURE 25

PATENT APPLICATION

600

FIGURE 26A

PATENT APPLICATION

FIGURE 26B

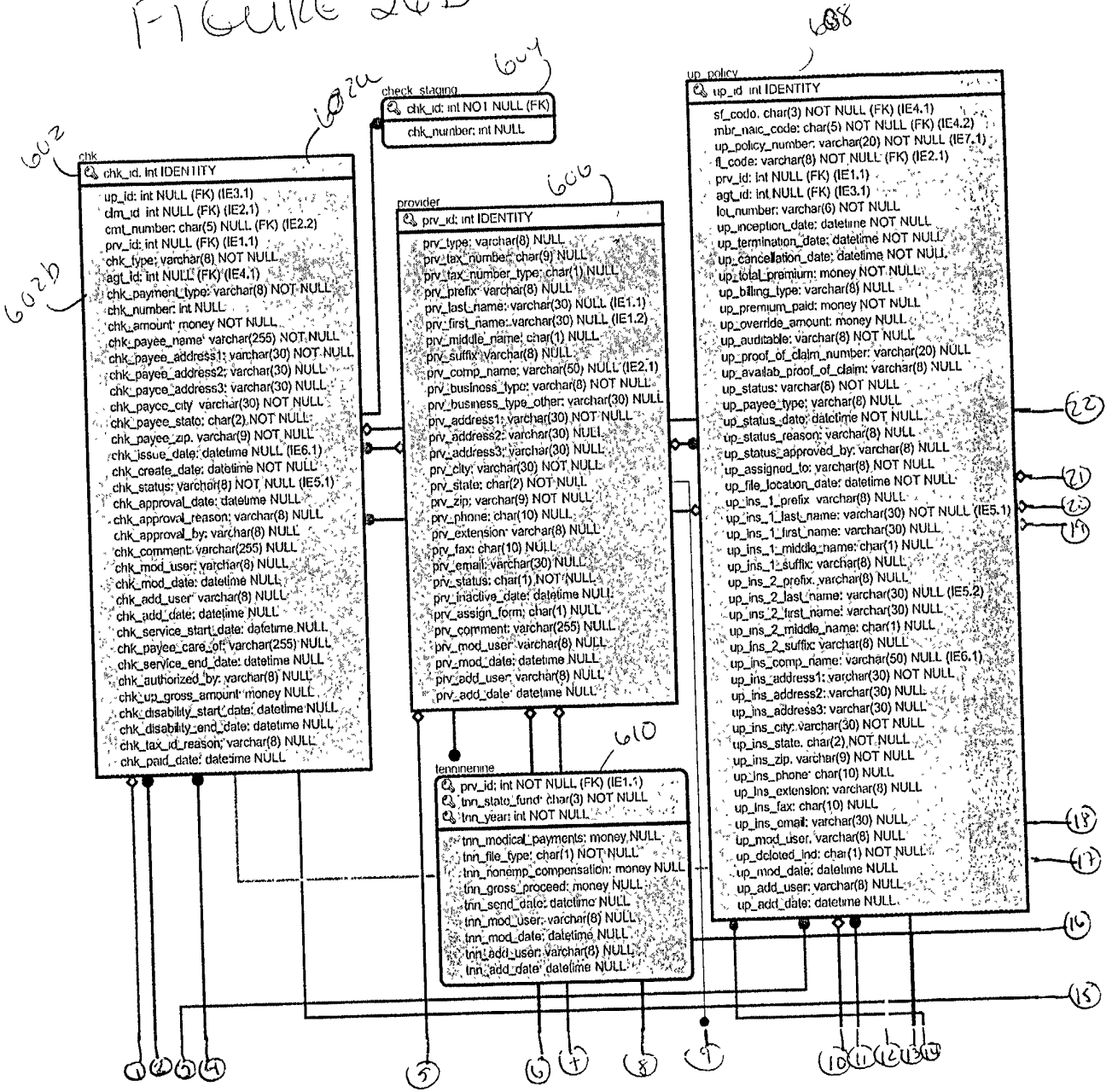


FIG 26 of 26/50660

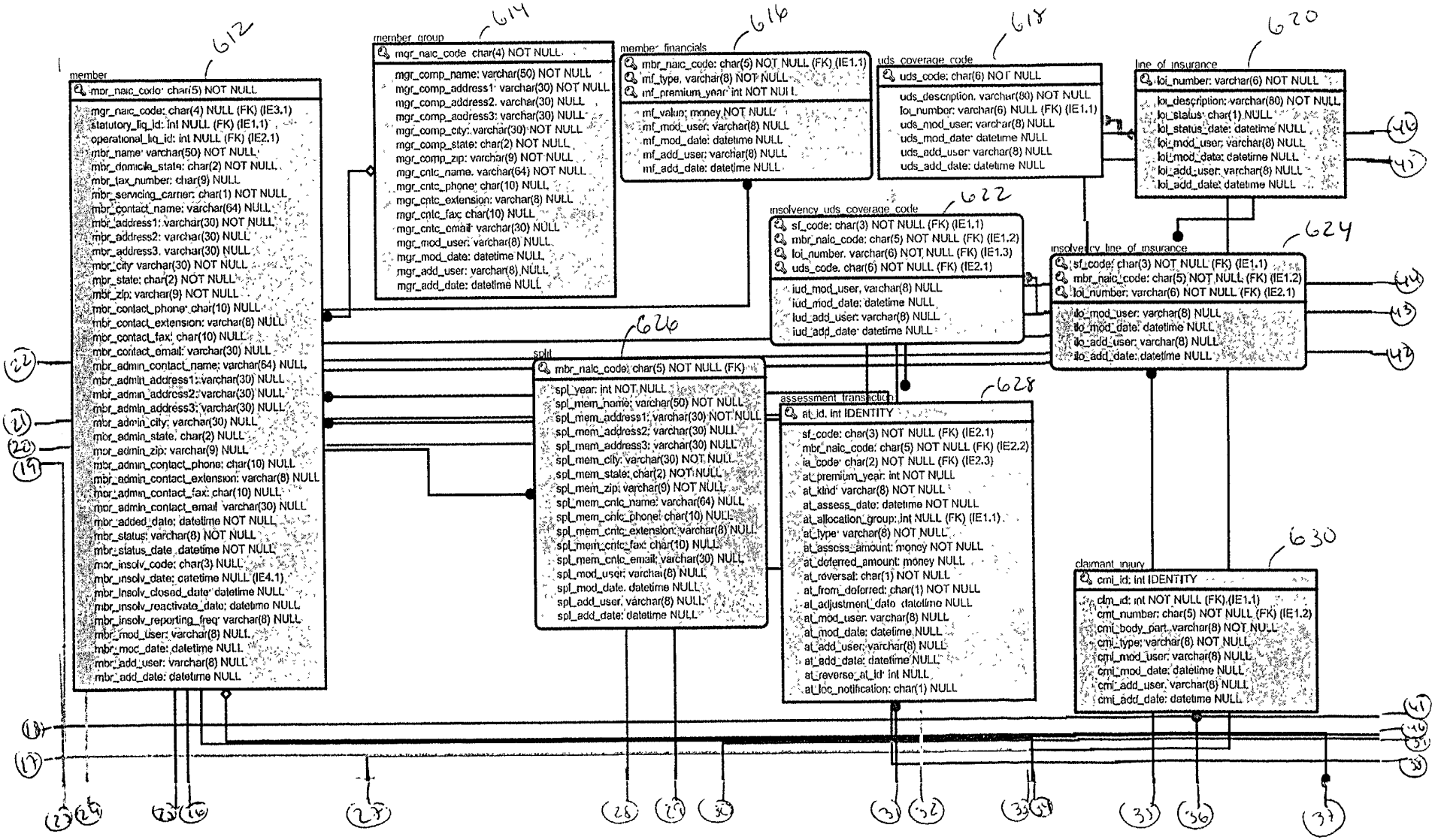


FIG 6

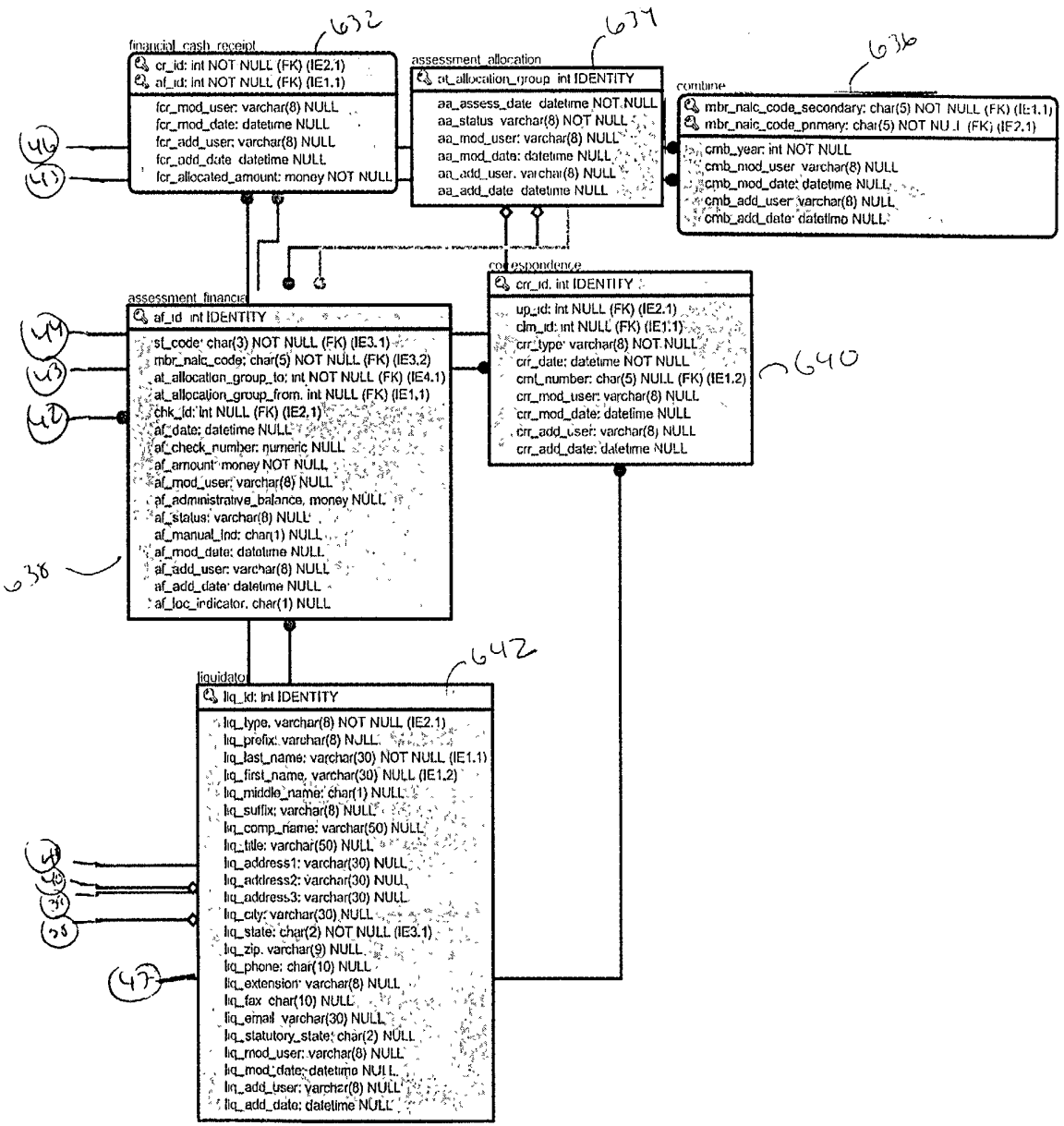
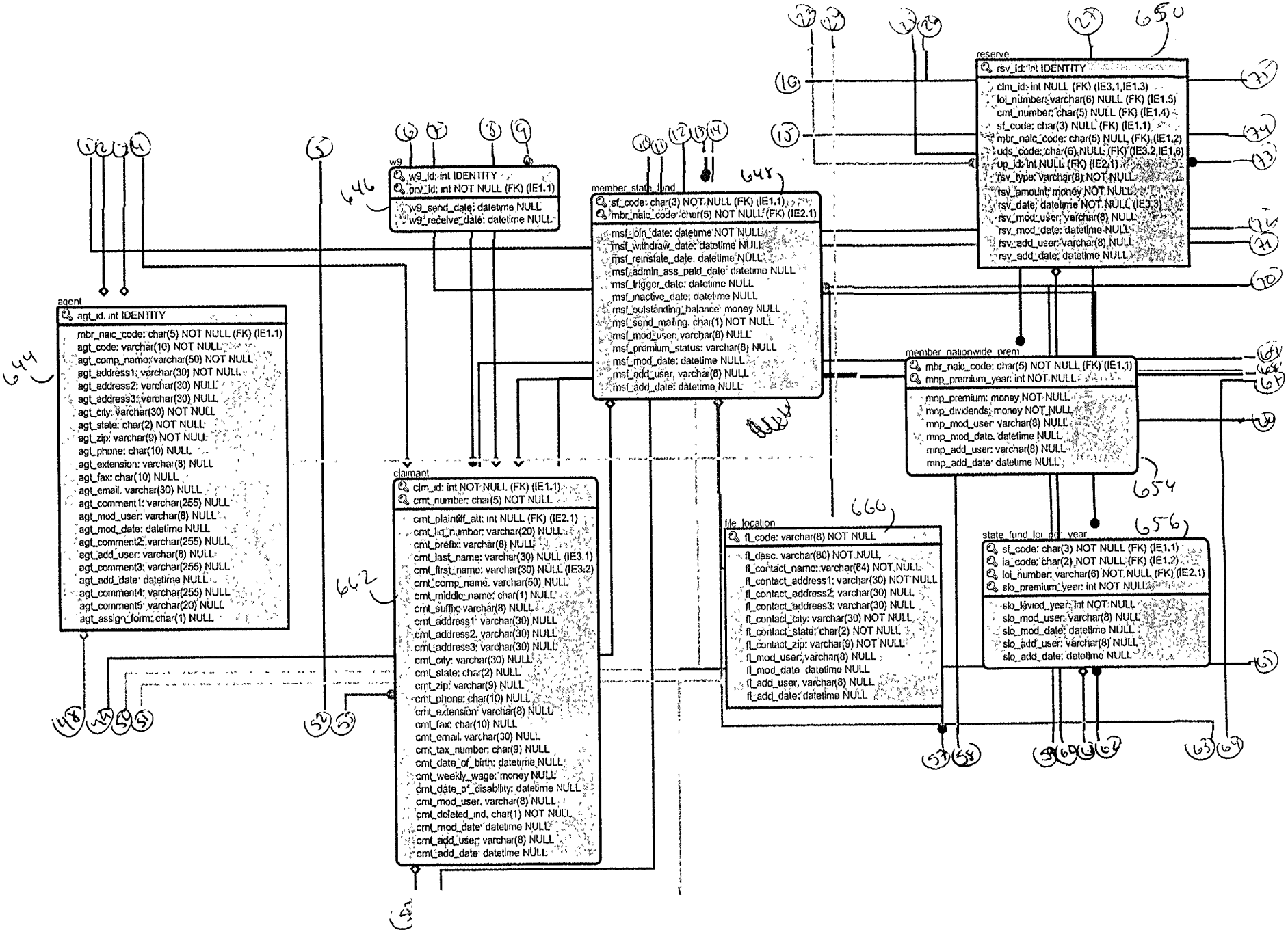

632
financial_cash_receipt
cr_id: int NOT NULL (FK) (IE2.1)
af_id: int NOT NULL (FK) (IE1.1)
fcr_mod_user: varchar(8) NULL
fcr_mod_date: datetime NULL
fcr_add_user: varchar(8) NULL
fcr_add_date: datetime NULL
fcr_allocated_amount: money NOT NULL
634
assessment_allocation
at_allocation_group: int IDENTITY
aa_assess_date: datetime NOT NULL
aa_status: varchar(8) NOT NULL
aa_mod_user: varchar(8) NULL
aa_mod_date: datetime NULL
aa_add_user: varchar(8) NULL
aa_add_date: datetime NULL
636
combine
mbr_naic_code_secondary: char(5) NOT NULL (FK) (IE1.1)
mbr_naic_code_primary: char(5) NOT NULL (FK) (IE2.1)
cmb_year: int NOT NULL
cmb_mod_user: varchar(8) NULL
cmb_mod_date: datetime NULL
cmb_add_user: varchar(8) NULL
cmb_add_date: datetime NULL
correspondence
crr_id: int IDENTITY
up_id: int NULL (FK) (IE2.1)
clm_id: int NULL (FK) (IE1.1)
crr_type: varchar(8) NOT NULL
crr_date: datetime NOT NULL
cml_number: char(5) NULL (FK) (IE1.2)
crr_mod_user: varchar(8) NULL
crr_mod_date: datetime NULL
crr_add_user: varchar(8) NULL
crr_add_date: datetime NULL
640
assessment_financial
af_id: int IDENTITY
st_code: char(3) NOT NULL (FK) (IE3.1)
mbr_naic_code: char(5) NOT NULL (FK) (IE3.2)
at_allocation_group_to: int NOT NULL (FK) (IE4.1)
at_allocation_group_from: int NULL (FK) (IE1.1)
chk_id: int NULL (FK) (IE2.1)
af_date: datetime NULL
af_check_number: numeric NULL
af_amount: money NOT NULL
af_mod_user: varchar(8) NULL
af_administrative_balance: money NULL
af_status: varchar(8) NULL
af_manual_ind: char(1) NULL
af_mod_date: datetime NULL
af_add_user: varchar(8) NULL
af_add_date: datetime NULL
af_loc_indicator: char(1) NULL
638
642
liquidator
liq_id: int IDENTITY
liq_type: varchar(8) NOT NULL (IE2.1)
liq_prefix: varchar(8) NULL
liq_last_name: varchar(30) NOT NULL (IE1.1)
liq_first_name: varchar(30) NULL (IE1.2)
liq_middle_name: char(1) NULL
liq_suffix: varchar(8) NULL
liq_comp_name: varchar(50) NULL
liq_title: varchar(50) NULL
liq_address1: varchar(30) NULL
liq_address2: varchar(30) NULL
liq_address3: varchar(30) NULL
liq_city: varchar(30) NULL
liq_state: char(2) NOT NULL (IE3.1)
liq_zip: varchar(9) NULL
liq_phone: char(10) NULL
liq_extension: varchar(8) NULL
liq_fax: char(10) NULL
liq_email: varchar(30) NULL
liq_statutory_state: char(2) NULL
liq_mod_user: varchar(8) NULL
liq_mod_date: datetime NULL
liq_add_user: varchar(8) NULL
liq_add_date: datetime NULL

FIGURE 26 OF 250660



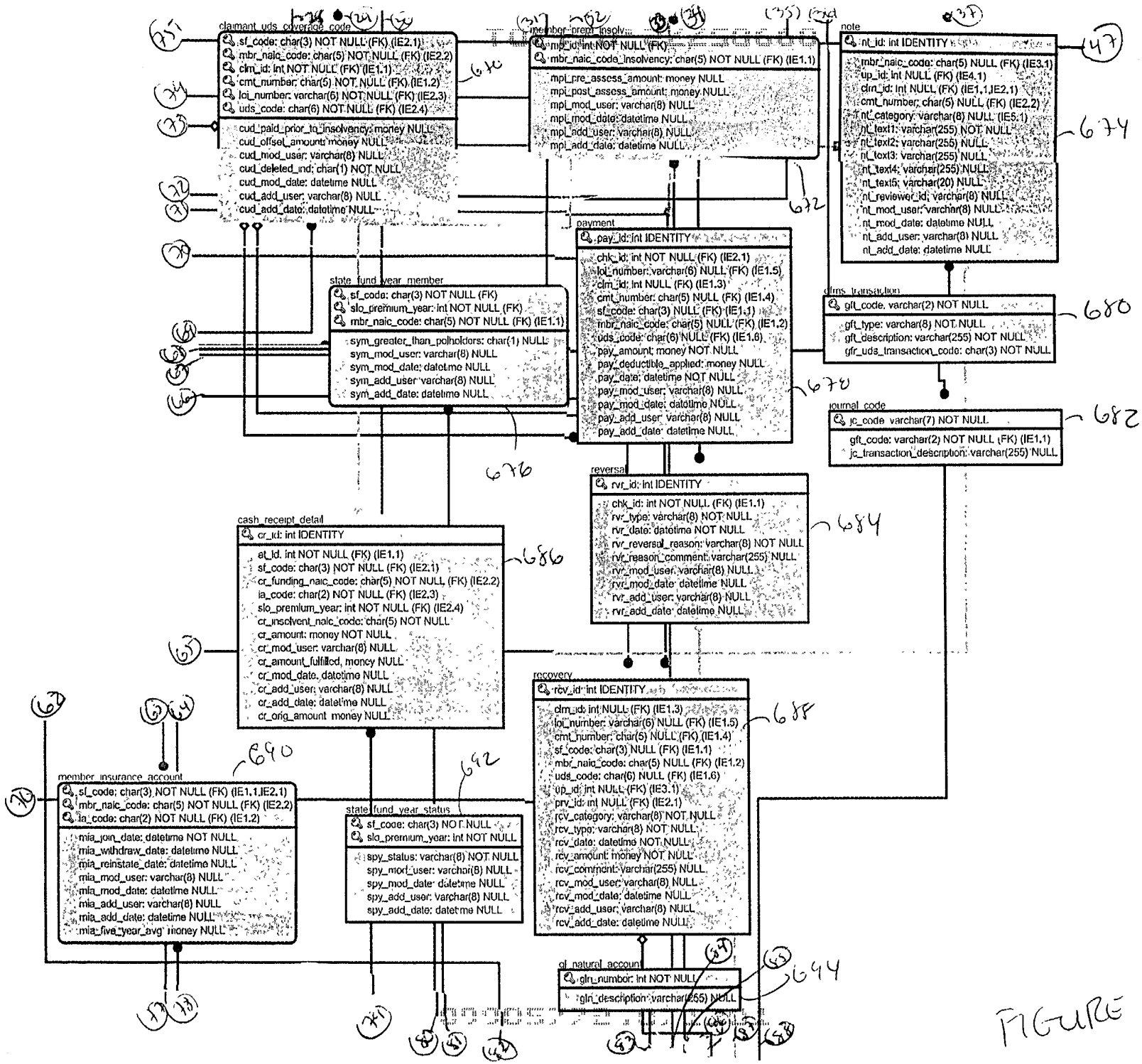
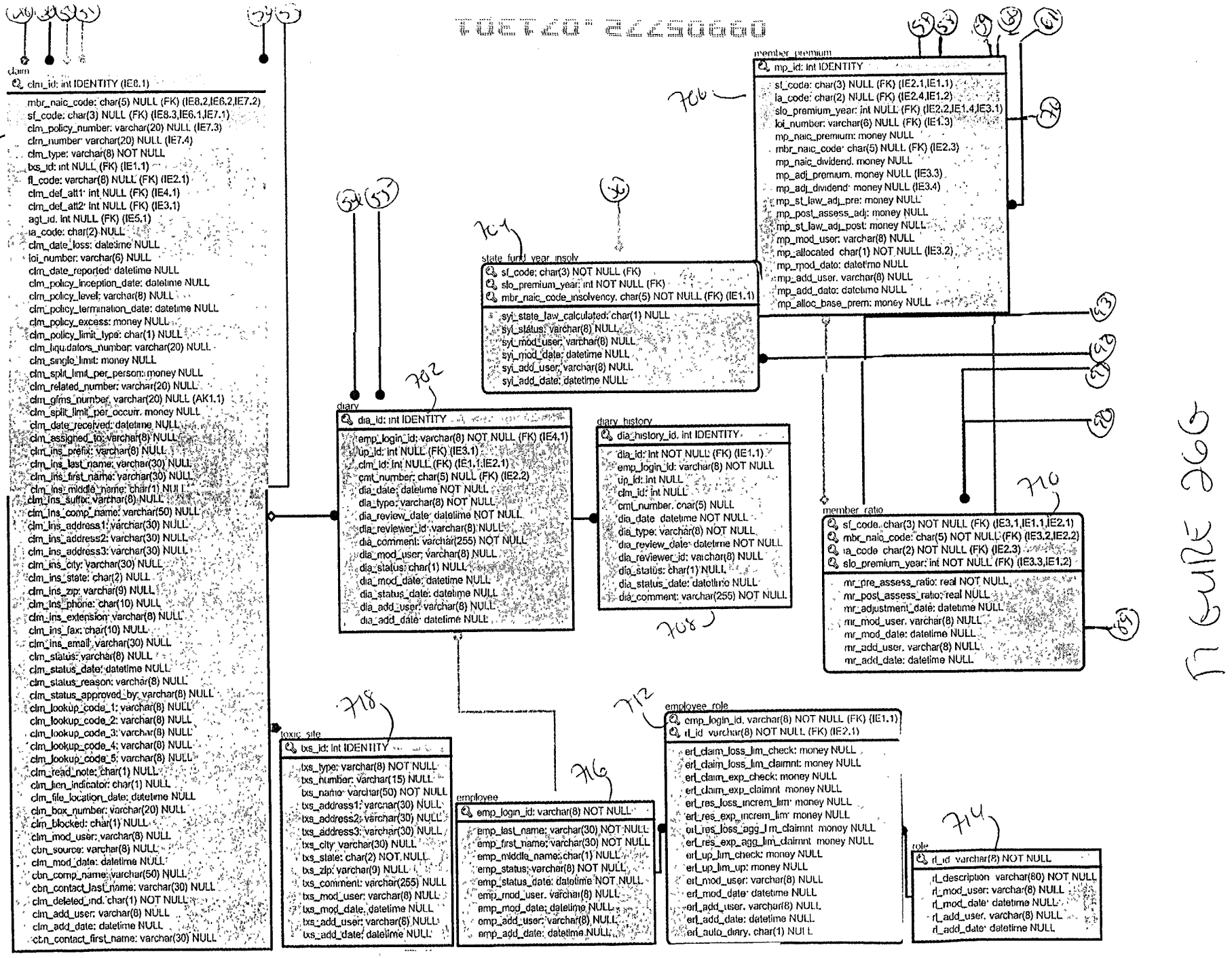

claimant_uds_coverage_code
sf_code: char(3) NOT NULL (FK) (IE2.1)
mbr_naic_code: char(5) NOT NULL (FK) (IE2.2)
clm_id: int NOT NULL (FK) (IE1.1)
cmt_number: char(5) NOT NULL (FK) (IE1.2)
loi_number: varchar(6) NOT NULL (FK) (IE2.3)
uds_code: char(6) NOT NULL (FK) (IE2.4)
cud_paid_prior_to_insolvency: money NULL
cud_offset_amount: money NULL
cud_mod_user: varchar(8) NULL
cud_deleted_ind: char(1) NOT NULL
cud_mod_date: datetime NULL
cud_add_user: varchar(8) NULL
cud_add_date: datetime NULL
member_prepd_insolv
mpi_id: int NOT NULL (FK)
mbr_naic_code_insolvency: char(5) NOT NULL (FK) (IE1.1)
mpi_pre_assess_amount: money NULL
mpi_post_assess_amount: money NULL
mpi_mod_user: varchar(8) NULL
mpi_mod_date: datetime NULL
mpi_add_user: varchar(8) NULL
mpi_add_date: datetime NULL
note
nt_id: int IDENTITY
mbr_naic_code: char(5) NULL (FK) (IE3.1)
up_id: int NULL (FK) (IE4.1)
clm_id: int NULL (FK) (IE1.1,IE2.1)
cmt_number: char(5) NULL (FK) (IE2.2)
nt_category: varchar(8) NULL (IE5.1)
nt_text1: varchar(255) NOT NULL
nt_text2: varchar(255) NULL
nt_text3: varchar(255) NULL
nt_text4: varchar(255) NULL
nt_text5: varchar(20) NULL
nt_reviewer_id: varchar(8) NULL
nt_mod_user: varchar(8) NULL
nt_mod_date: datetime NULL
nt_add_user: varchar(8) NULL
nt_add_date: datetime NULL
payment
pay_id: int IDENTITY
chk_id: int NOT NULL (FK) (IE2.1)
loi_number: varchar(6) NULL (FK) (IE1.5)
clm_id: int NULL (FK) (IE1.3)
cmt_number: char(5) NULL (FK) (IE1.4)
sf_code: char(3) NULL (FK) (IE1.1)
mbr_naic_code: char(5) NULL (FK) (IE1.2)
uds_code: char(6) NULL (FK) (IE1.6)
pay_amount: money NOT NULL
pay_deductible_applied: money NULL
pay_date: datetime NOT NULL
pay_mod_user: varchar(8) NULL
pay_mod_date: datetime NULL
pay_add_user: varchar(8) NULL
pay_add_date: datetime NULL
state_fund_year_member
sf_code: char(3) NOT NULL (FK)
slo_premium_year: int NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK) (IE1.1)
sym_greater_than_polholders: char(1) NULL
sym_mod_user: varchar(8) NULL
sym_mod_date: datetime NULL
sym_add_user: varchar(8) NULL
sym_add_date: datetime NULL
glms_transaction
glt_code: varchar(2) NOT NULL
glt_type: varchar(8) NOT NULL
glt_description: varchar(255) NOT NULL
glm_uds_transaction_code: char(3) NOT NULL
journal_code
jc_code: varchar(7) NOT NULL
glt_code: varchar(2) NOT NULL (FK) (IE1.1)
jc_transaction_description: varchar(255) NULL
reversal
rvr_id: int IDENTITY
chk_id: int NOT NULL (FK) (IE1.1)
rvr_type: varchar(8) NOT NULL
rvr_date: datetime NOT NULL
rvr_reversal_reason: varchar(8) NOT NULL
rvr_reason_comment: varchar(255) NULL
rvr_mod_user: varchar(8) NULL
rvr_mod_date: datetime NULL
rvr_add_user: varchar(8) NULL
rvr_add_date: datetime NULL
cash_receipt_detail
cr_id: int IDENTITY
at_id: int NOT NULL (FK) (IE1.1)
sf_code: char(3) NOT NULL (FK) (IE2.1)
cr_funding_naic_code: char(5) NOT NULL (FK) (IE2.2)
la_code: char(2) NOT NULL (FK) (IE2,3)
slo_premium_year: int NOT NULL (FK) (IE2.4)
cr_insolvent_naic_code: char(5) NOT NULL
cr_amount: money NOT NULL
cr_mod_user: varchar(8) NULL
cr_amount_fulfilled: money NULL
cr_mod_date: datetime NULL
cr_add_user: varchar(8) NULL
cr_add_date: datetime NULL
cr_orig_amount: money NULL
recovery
rcv_id: int IDENTITY
clm_id: int NULL (FK) (IE1.3)
loi_number: varchar(6) NULL (FK) (IE1.5)
cmt_number: char(5) NULL (FK) (IE1.4)
sf_code: char(3) NULL (FK) (IE1.1)
mbr_naic_code: char(5) NULL (FK) (IE1.2)
uds_code: char(6) NULL (FK) (IE1.6)
up_id: int NULL (FK) (IE3.1)
prv_id: int NULL (FK) (IE2.1)
rcv_category: varchar(8) NOT NULL
rcv_type: varchar(8) NOT NULL
rcv_date: datetime NOT NULL
rcv_amount: money NOT NULL
rcv_comment: varchar(255) NULL
rcv_mod_user: varchar(8) NULL
rcv_mod_date: datetime NULL
rcv_add_user: varchar(8) NULL
rcv_add_date: datetime NULL
member_insurance_account
sf_code: char(3) NOT NULL (FK) (IE1.1,IE2.1)
mbr_naic_code: char(5) NOT NULL (FK) (IE2.2)
la_code: char(2) NOT NULL (FK) (IE1.2)
mia_join_date: datetime NOT NULL
mia_withdraw_date: datetime NULL
mia_reinstate_date: datetime NULL
mia_mod_user: varchar(8) NULL
mia_mod_date: datetime NULL
mia_add_user: varchar(8) NULL
mia_add_date: datetime NULL
mia_five_year_avg: money NULL
state_fund_year_status
sf_code: char(3) NOT NULL
slo_premium_year: int NOT NULL
spy_status: varchar(8) NOT NULL
spy_mod_user: varchar(8) NULL
spy_mod_date: datetime NULL
spy_add_user: varchar(8) NULL
spy_add_date: datetime NULL
gl_natural_account
gln_number: int NOT NULL
gln_description: varchar(255) NULL

FIGURE 26F


claim
clm_id: int IDENTITY (IE8.1)
mbr_naic_code: char(5) NULL (FK) (IE8.2,IE6.2,IE7.2)
sf_code: char(3) NULL (FK) (IE8.3,IE6.1,IE7.1)
clm_policy_number: varchar(20) NULL (IE7.3)
clm_number: varchar(20) NULL (IE7.4)
clm_type: varchar(8) NOT NULL
txs_id: int NULL (FK) (IE1.1)
fl_code: varchar(8) NULL (FK) (IE2.1)
clm_def_att1: int NULL (FK) (IE4.1)
clm_def_att2: int NULL (FK) (IE3.1)
agt_id: int NULL (FK) (IE5.1)
la_code: char(2) NULL
clm_date_loss: datetime NULL
loi_number: varchar(6) NULL
clm_date_reported: datetime NULL
clm_policy_inception_date: datetime NULL
clm_policy_level: varchar(8) NULL
clm_policy_termination_date: datetime NULL
clm_policy_excess: money NULL
clm_policy_limit_type: char(1) NULL
clm_liquidators_number: varchar(20) NULL
clm_single_limit: money NULL
clm_split_limit_per_person: money NULL
clm_related_number: varchar(20) NULL
clm_gims_number: varchar(20) NULL (AK1.1)
clm_split_limit_per_occurr: money NULL
clm_date_received: datetime NULL
clm_assigned_to: varchar(8) NULL
clm_ins_prefix: varchar(8) NULL
clm_ins_last_name: varchar(30) NULL
clm_ins_first_name: varchar(30) NULL
clm_ins_middle_name: char(1) NULL
clm_ins_suffix: varchar(8) NULL
clm_ins_comp_name: varchar(50) NULL
clm_ins_address1: varchar(30) NULL
clm_ins_address2: varchar(30) NULL
clm_ins_address3: varchar(30) NULL
clm_ins_city: varchar(30) NULL
clm_ins_state: char(2) NULL
clm_ins_zip: varchar(9) NULL
clm_ins_phone: char(10) NULL
clm_ins_extension: varchar(8) NULL
clm_ins_fax: char(10) NULL
clm_ins_email: varchar(30) NULL
clm_status: varchar(8) NULL
clm_status_date: datetime NULL
clm_status_reason: varchar(8) NULL
clm_status_approved_by: varchar(8) NULL
clm_lookup_code_1: varchar(8) NULL
clm_lookup_code_2: varchar(8) NULL
clm_lookup_code_3: varchar(8) NULL
clm_lookup_code_4: varchar(8) NULL
clm_lookup_code_5: varchar(8) NULL
clm_read_note: char(1) NULL
clm_lien_indicator: char(1) NULL
clm_file_location_date: datetime NULL
clm_box_number: varchar(20) NULL
clm_blocked: char(1) NULL
clm_mod_user: varchar(8) NULL
cbn_source: varchar(8) NULL
clm_mod_date: datetime NULL
cbn_comp_name: varchar(50) NULL
cbn_contact_last_name: varchar(30) NULL
clm_deleted_ind: char(1) NOT NULL
clm_add_user: varchar(8) NULL
clm_add_date: datetime NULL
cbn_contact_first_name: varchar(30) NULL
member_premium
mp_id: int IDENTITY
sf_code: char(3) NULL (FK) (IE2.1,IE1.1)
la_code: char(2) NULL (FK) (IE2.4,IE1.2)
slo_premium_year: int NULL (FK) (IE2.2,IE1.4,IE3.1)
loi_number: varchar(6) NULL (FK) (IE1.3)
mp_naic_premium: money NULL
mbr_naic_code: char(5) NULL (FK) (IE2.3)
mp_naic_dividend: money NULL
mp_adj_premium: money NULL (IE3.3)
mp_adj_dividend: money NULL (IE3.4)
mp_st_law_adj_pre: money NULL
mp_post_assess_adj: money NULL
mp_st_law_adj_post: money NULL
mp_mod_user: varchar(8) NULL
mp_allocated: char(1) NOT NULL (IE3.2)
mp_mod_date: datetime NULL
mp_add_user: varchar(8) NULL
mp_add_date: datetime NULL
mp_alloc_base_prem: money NULL
state_fund_year_insolv
sf_code: char(3) NOT NULL (FK)
slo_premium_year: int NOT NULL (FK)
mbr_naic_code_insolvency: char(5) NOT NULL (FK) (IE1.1)
syi_state_law_calculated: char(1) NULL
syi_status: varchar(8) NULL
syi_mod_user: varchar(8) NULL
syi_mod_date: datetime NULL
syi_add_user: varchar(8) NULL
syi_add_date: datetime NULL
diary
dia_id: int IDENTITY
emp_login_id: varchar(8) NOT NULL (FK) (IE4.1)
up_id: int NULL (FK) (IE3.1)
clm_id: int NULL (FK) (IE1.1,IE2.1)
cmt_number: char(5) NULL (FK) (IE2.2)
dia_date: datetime NOT NULL
dia_type: varchar(8) NOT NULL
dia_review_date: datetime NOT NULL
dia_reviewer_id: varchar(8) NULL
dia_comment: varchar(255) NOT NULL
dia_mod_user: varchar(8) NULL
dia_status: char(1) NULL
dia_mod_date: datetime NULL
dia_status_date: datetime NULL
dia_add_user: varchar(8) NULL
dia_add_date: datetime NULL
diary_history
dia_history_id: int IDENTITY
dia_id: int NOT NULL (FK) (IE1.1)
emp_login_id: varchar(8) NOT NULL
up_id: int NULL
clm_id: int NULL
cmt_number: char(5) NULL
dia_date: datetime NOT NULL
dia_type: varchar(8) NOT NULL
dia_review_date: datetime NOT NULL
dia_reviewer_id: varchar(8) NULL
dia_status: char(1) NULL
dia_status_date: datetime NULL
dia_comment: varchar(255) NOT NULL
member_ratio
sf_code: char(3) NOT NULL (FK) (IE3.1,IE1.1,IE2.1)
mbr_naic_code: char(5) NOT NULL (FK) (IE3.2,IE2.2)
la_code: char(2) NOT NULL (FK) (IE2.3)
slo_premium_year: int NOT NULL (FK) (IE3.3,IE1.2)
mr_pre_assess_ratio: real NOT NULL
mr_post_assess_ratio: real NULL
mr_adjustment_date: datetime NULL
mr_mod_user: varchar(8) NULL
mr_mod_date: datetime NULL
mr_add_user: varchar(8) NULL
mr_add_date: datetime NULL
toxic_site
txs_id: int IDENTITY
txs_type: varchar(8) NOT NULL
txs_number: varchar(15) NULL
txs_name: varchar(50) NOT NULL
txs_address1: varchar(30) NULL
txs_address2: varchar(30) NULL
txs_address3: varchar(30) NULL
txs_city: varchar(30) NULL
txs_state: char(2) NOT NULL
txs_zip: varchar(9) NULL
txs_comment: varchar(255) NULL
txs_mod_user: varchar(8) NULL
txs_mod_date: datetime NULL
txs_add_user: varchar(8) NULL
txs_add_date: datetime NULL
employee
emp_login_id: varchar(8) NOT NULL
emp_last_name: varchar(30) NOT NULL
emp_first_name: varchar(30) NOT NULL
emp_middle_name: char(1) NULL
emp_status: varchar(8) NOT NULL
emp_status_date: datetime NOT NULL
emp_mod_user: varchar(8) NULL
emp_mod_date: datetime NULL
emp_add_user: varchar(8) NULL
emp_add_date: datetime NULL
employee_role
emp_login_id: varchar(8) NOT NULL (FK) (IE1.1)
rl_id: varchar(8) NOT NULL (FK) (IE2.1)
erl_claim_loss_lim_check: money NULL
erl_claim_loss_lim_claimnt: money NULL
erl_claim_exp_check: money NULL
erl_claim_exp_claimnt: money NULL
erl_res_loss_increm_lim: money NULL
erl_res_exp_increm_lim: money NULL
erl_res_loss_agg_lm_claimnt: money NULL
erl_res_exp_agg_lim_claimnt: money NULL
erl_up_lim_check: money NULL
erl_up_lim_up: money NULL
erl_mod_user: varchar(8) NULL
erl_mod_date: datetime NULL
erl_add_user: varchar(8) NULL
erl_add_date: datetime NULL
erl_auto_diary: char(1) NULL
role
rl_id: varchar(8) NOT NULL
rl_description: varchar(80) NOT NULL
rl_mod_user: varchar(8) NULL
rl_mod_date: datetime NULL
rl_add_user: varchar(8) NULL
rl_add_date: datetime NULL
700
702
704
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712
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718
FIGURE 26

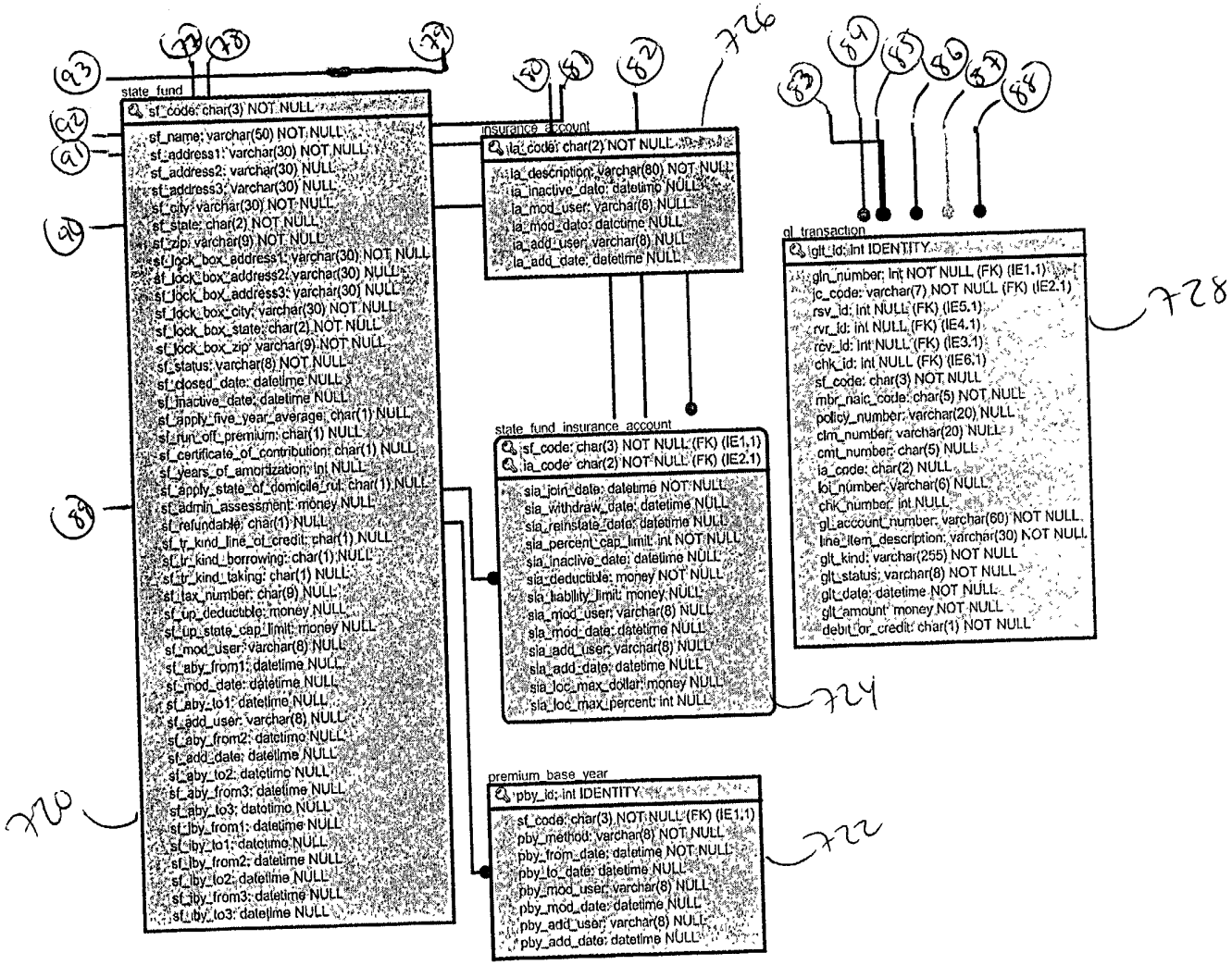

state_fund
sf_code: char(3) NOT NULL
sf_name: varchar(50) NOT NULL
sf_address1: varchar(30) NOT NULL
sf_address2: varchar(30) NULL
sf_address3: varchar(30) NULL
sf_city: varchar(30) NOT NULL
sf_state: char(2) NOT NULL
sf_zip: varchar(9) NOT NULL
sf_lock_box_address1: varchar(30) NOT NULL
sf_lock_box_address2: varchar(30) NULL
sf_lock_box_address3: varchar(30) NULL
sf_lock_box_city: varchar(30) NOT NULL
sf_lock_box_state: char(2) NOT NULL
sf_lock_box_zip: varchar(9) NOT NULL
sf_status: varchar(8) NOT NULL
sf_closed_date: datetime NULL
sf_inactive_date: datetime NULL
sf_apply_five_year_average: char(1) NULL
sf_run_off_premium: char(1) NULL
sf_certificate_of_contribution: char(1) NULL
sf_years_of_amortization: int NULL
sf_apply_state_of_domicile_rul: char(1) NULL
sf_admin_assessment: money NULL
sf_refundable: char(1) NULL
sf_tr_kind_line_of_credit: char(1) NULL
sf_tr_kind_borrowing: char(1) NULL
sf_tr_kind_taking: char(1) NULL
sf_tax_number: char(9) NULL
sf_up_deductible: money NULL
sf_up_state_cap_limit: money NULL
sf_mod_user: varchar(8) NULL
sf_aby_from1: datetime NULL
sf_mod_date: datetime NULL
sf_aby_to1: datetime NULL
sf_add_user: varchar(8) NULL
sf_aby_from2: datetime NULL
sf_add_date: datetime NULL
sf_aby_to2: datetime NULL
sf_aby_from3: datetime NULL
sf_aby_to3: datetime NULL
sf_lby_from1: datetime NULL
sf_lby_to1: datetime NULL
sf_lby_from2: datetime NULL
sf_lby_to2: datetime NULL
sf_lby_from3: datetime NULL
sf_lby_to3: datetime NULL
insurance_account
ia_code: char(2) NOT NULL
ia_description: varchar(80) NOT NULL
ia_inactive_date: datetime NULL
ia_mod_user: varchar(8) NULL
ia_mod_date: datetime NULL
ia_add_user: varchar(8) NULL
ia_add_date: datetime NULL
state_fund_insurance_account
sf_code: char(3) NOT NULL (FK) (IE1.1)
ia_code: char(2) NOT NULL (FK) (IE2.1)
sia_join_date: datetime NOT NULL
sia_withdraw_date: datetime NULL
sia_reinstate_date: datetime NULL
sia_percent_cap_limit: int NOT NULL
sia_inactive_date: datetime NULL
sia_deductible: money NOT NULL
sia_liability_limit: money NULL
sia_mod_user: varchar(8) NULL
sia_mod_date: datetime NULL
sia_add_user: varchar(8) NULL
sia_add_date: datetime NULL
sia_loc_max_dollar: money NULL
sia_loc_max_percent: int NULL
premium_base_year
pby_id: int IDENTITY
sf_code: char(3) NOT NULL (FK) (IE1.1)
pby_method: varchar(8) NOT NULL
pby_from_date: datetime NOT NULL
pby_to_date: datetime NULL
pby_mod_user: varchar(8) NULL
pby_mod_date: datetime NULL
pby_add_user: varchar(8) NULL
pby_add_date: datetime NULL
gl_transaction
glt_id: int IDENTITY
gln_number: int NOT NULL (FK) (IE1.1)
jc_code: varchar(7) NOT NULL (FK) (IE2.1)
rsv_id: int NULL (FK) (IE5.1)
rvr_id: int NULL (FK) (IE4.1)
rcv_id: int NULL (FK) (IE3.1)
chk_id: int NULL (FK) (IE6.1)
sf_code: char(3) NOT NULL
mbr_naic_code: char(5) NOT NULL
policy_number: varchar(20) NULL
clm_number: varchar(20) NULL
cmt_number: char(5) NULL
ia_code: char(2) NULL
loi_number: varchar(6) NULL
chk_number: int NULL
gl_account_number: varchar(60) NOT NULL
line_item_description: varchar(30) NOT NULL
glt_kind: varchar(255) NOT NULL
glt_status: varchar(8) NOT NULL
glt_date: datetime NOT NULL
glt_amount: money NOT NULL
debit_or_credit: char(1) NOT NULL
720
722
724
726
728

Figure 26

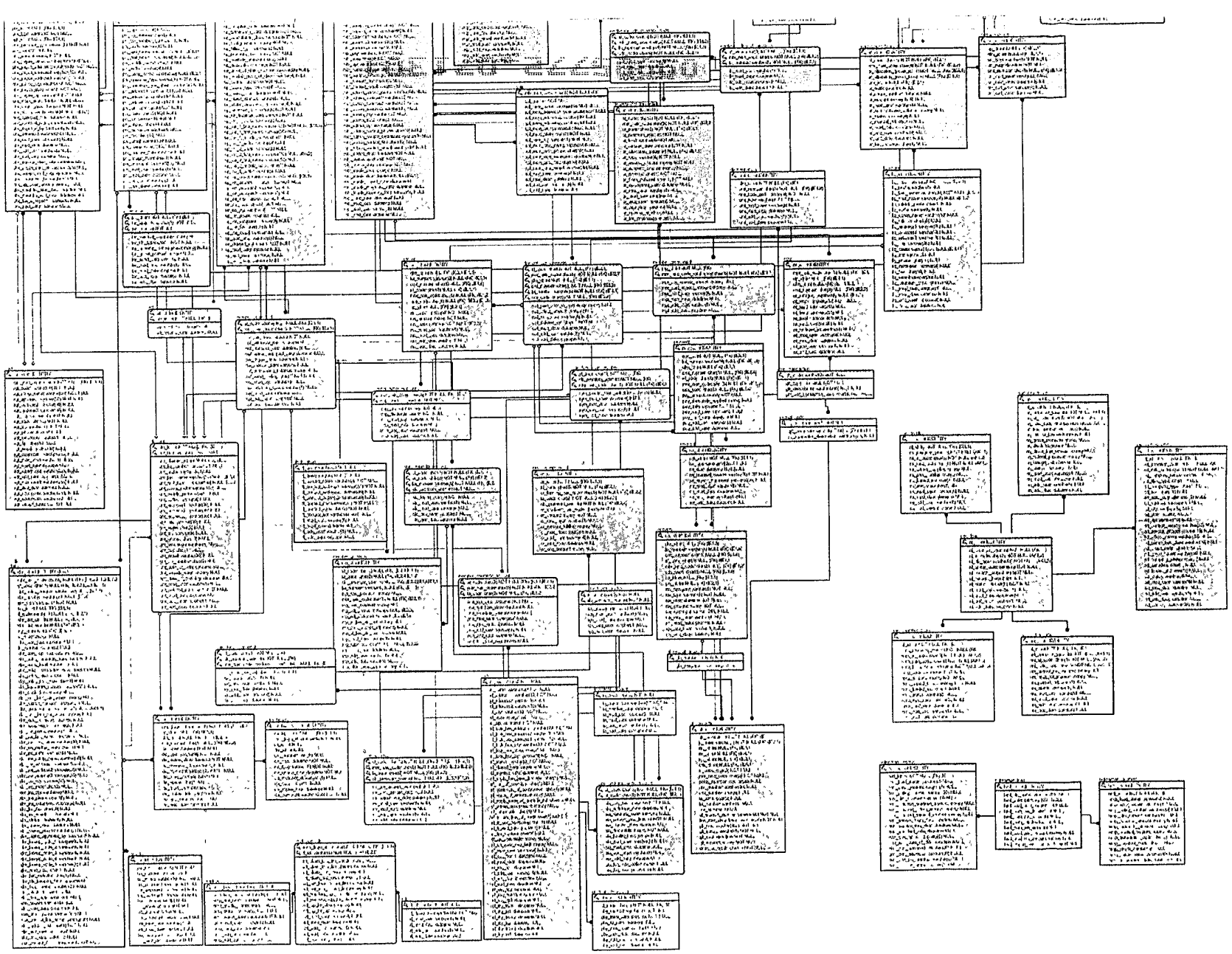


FIGURE 26 I

FIGURE 27

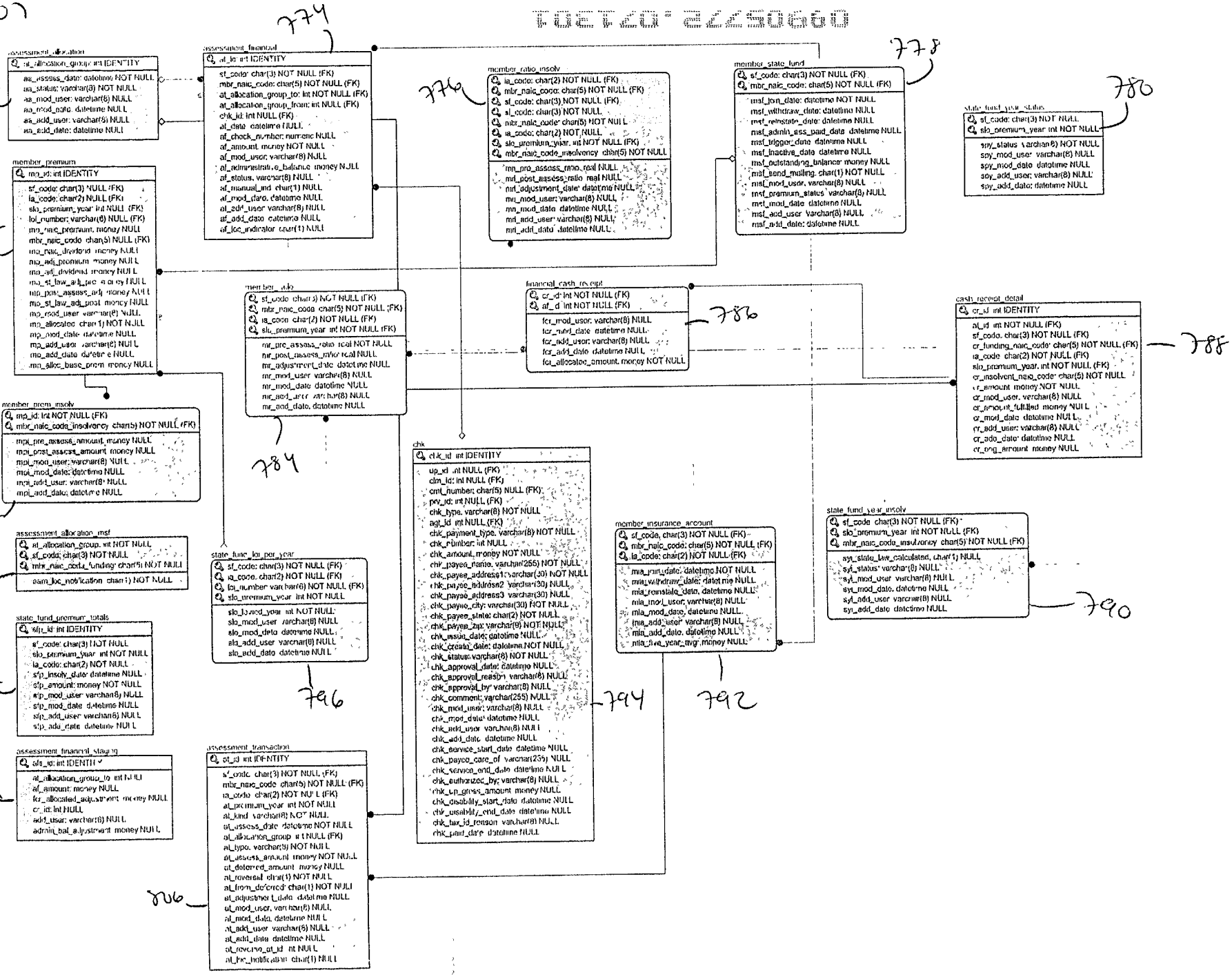

assessment_allocation
al_allocation_group_id int IDENTITY
as_assess_date: datetime NOT NULL
as_status: varchar(8) NOT NULL
as_mod_user: varchar(8) NULL
as_mod_date: datetime NULL
as_add_user: varchar(8) NULL
as_add_date: datetime NULL
772
assessment_financial
al_id int IDENTITY
st_code: char(3) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
at_allocation_group_to: int NOT NULL (FK)
at_allocation_group_from: int NULL (FK)
chk_id: int NULL (FK)
af_date: datetime NULL
af_check_number: numeric NULL
af_amount: money NOT NULL
af_mod_user: varchar(8) NULL
af_administrative_balance: money NULL
af_status: varchar(8) NULL
af_manual_ind: char(1) NULL
af_mod_date: datetime NULL
af_add_user: varchar(8) NULL
af_add_date: datetime NULL
af_loc_indicator: char(1) NULL
774
member_ratio_insolv
ia_code: char(2) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
st_code: char(3) NOT NULL (FK)
sl_code: char(3) NOT NULL
mbr_naic_code: char(5) NOT NULL
ia_code: char(2) NOT NULL
slo_premium_year: int NOT NULL (FK)
mbr_naic_code_insolvency: char(5) NOT NULL
mri_pre_assess_ratio: real NULL
mri_post_assess_ratio: real NULL
mri_adjustment_date: datetime NULL
mri_mod_user: varchar(8) NULL
mri_mod_date: datetime NULL
mri_add_user: varchar(8) NULL
mri_add_date: datetime NULL
776
member_state_fund
st_code: char(3) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
msf_join_date: datetime NOT NULL
msf_withdraw_date: datetime NULL
msf_reinstate_date: datetime NULL
msf_admin_ass_paid_date: datetime NULL
msf_trigger_date: datetime NULL
msf_inactive_date: datetime NULL
msf_outstanding_balance: money NULL
msf_bond_mailing: char(1) NOT NULL
msf_mod_user: varchar(8) NULL
msf_premium_status: varchar(8) NULL
msf_mod_date: datetime NULL
msf_add_user: varchar(8) NULL
msf_add_date: datetime NULL
778
state_fund_year_status
st_code: char(3) NOT NULL
slo_premium_year: int NOT NULL
spy_status: varchar(8) NOT NULL
spy_mod_user: varchar(8) NULL
spy_mod_date: datetime NULL
spy_add_user: varchar(8) NULL
spy_add_date: datetime NULL
780
member_premium
mp_id: int IDENTITY
st_code: char(3) NULL (FK)
la_code: char(2) NULL (FK)
slo_premium_year: int NULL (FK)
lol_number: varchar(8) NULL (FK)
mp_mbr_premium: money NULL
mbr_naic_code: char(5) NULL (FK)
mp_naic_dividend: money NULL
mp_adj_premium: money NULL
mp_adj_dividend: money NULL
mp_st_law_adj_pre: money NULL
mp_post_assess_adj: money NULL
mp_st_law_adj_post: money NULL
mp_mod_user: varchar(8) NULL
mp_allocated: char(1) NOT NULL
mp_mod_date: datetime NULL
mp_add_user: varchar(8) NULL
mp_add_date: datetime NULL
mp_alloc_base_prem: money NULL
782
member_risk
st_code: char(3) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
la_code: char(2) NOT NULL (FK)
slo_premium_year: int NOT NULL (FK)
mr_pre_assess_ratio: real NOT NULL
mr_post_assess_ratio: real NULL
mr_adjustment_date: datetime NULL
mr_mod_user: varchar(8) NULL
mr_mod_date: datetime NULL
mr_add_user: varchar(8) NULL
mr_add_date: datetime NULL
784
financial_cash_receipt
cr_id: int NOT NULL (FK)
af_id: int NOT NULL (FK)
fcr_mod_user: varchar(8) NULL
fcr_mod_date: datetime NULL
fcr_add_user: varchar(8) NULL
fcr_add_date: datetime NULL
fcr_allocated_amount: money NOT NULL
786
cash_receipt_detail
cr_id: int IDENTITY
al_id: int NOT NULL (FK)
st_code: char(3) NOT NULL (FK)
cr_funding_naic_code: char(5) NOT NULL (FK)
la_code: char(2) NOT NULL (FK)
slo_premium_year: int NOT NULL (FK)
cr_insolvent_naic_code: char(5) NOT NULL
cr_amount: money NOT NULL
cr_mod_user: varchar(8) NULL
cr_amount_fulfilled: money NULL
cr_mod_date: datetime NULL
cr_add_user: varchar(8) NULL
cr_add_date: datetime NULL
cr_orig_amount: money NULL
788
member_prem_insolv
mp_id: int NOT NULL (FK)
mbr_naic_code_insolvency: char(5) NOT NULL (FK)
mpi_pre_assess_amount: money NULL
mpi_post_assess_amount: money NULL
mpi_mod_user: varchar(8) NULL
mpi_mod_date: datetime NULL
mpi_add_user: varchar(8) NULL
mpi_add_date: datetime NULL
788
assessment_allocation_msf
al_allocation_group: int NOT NULL
sf_code: char(3) NOT NULL
mbr_naic_code_funding: char(5) NOT NULL
eam_loc_notification: char(1) NOT NULL
800
state_fund_lol_per_year
sf_code: char(3) NOT NULL (FK)
la_code: char(2) NOT NULL (FK)
lol_number: varchar(8) NOT NULL (FK)
slo_premium_year: int NOT NULL
slo_joined_year: int NOT NULL
slo_mod_user: varchar(8) NULL
slo_mod_date: datetime NULL
slo_add_user: varchar(8) NULL
slo_add_date: datetime NULL
796
chk
chk_id: int IDENTITY
up_id: int NULL (FK)
clm_id: int NULL (FK)
cmt_number: char(5) NULL (FK)
pay_id: int NULL (FK)
chk_type: varchar(8) NOT NULL
agt_id: int NULL (FK)
chk_payment_type: varchar(8) NOT NULL
chk_number: int NULL
chk_amount: money NOT NULL
chk_payee_name: varchar(255) NOT NULL
chk_payee_address1: varchar(30) NOT NULL
chk_payee_address2: varchar(30) NULL
chk_payee_address3: varchar(30) NULL
chk_payee_city: varchar(30) NOT NULL
chk_payee_state: char(2) NOT NULL
chk_payee_zip: varchar(9) NOT NULL
chk_issue_date: datetime NULL
chk_create_date: datetime NOT NULL
chk_status: varchar(8) NOT NULL
chk_approval_date: datetime NULL
chk_approval_reason: varchar(8) NULL
chk_approval_by: varchar(8) NULL
chk_comment: varchar(255) NULL
chk_mod_user: varchar(8) NULL
chk_mod_date: datetime NULL
chk_add_user: varchar(8) NULL
chk_add_date: datetime NULL
chk_service_start_date: datetime NULL
chk_payee_care_of: varchar(255) NULL
chk_service_end_date: datetime NULL
chk_authorized_by: varchar(8) NULL
chk_up_gross_amount: money NULL
chk_disability_start_date: datetime NULL
chk_disability_end_date: datetime NULL
chk_tax_id_reason: varchar(8) NULL
chk_paid_date: datetime NULL
794
member_insurance_account
sf_code, char(3) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
la_code: char(2) NOT NULL (FK)
mia_join_date: datetime NOT NULL
mia_withdraw_date: datetime NULL
mia_reinstate_date: datetime NULL
mia_inact_user: varchar(8) NULL
mia_mod_date: datetime NULL
mia_add_user: varchar(8) NULL
mia_add_date: datetime NULL
mia_five_year_avg: money NULL
792
state_fund_year_insolv
sf_code char(3) NOT NULL (FK)
slo_premium_year int NOT NULL (FK)
mbr_naic_code_insolvency char(5) NOT NULL (FK)
syi_state_law_calculated, char(1) NULL
syi_status: varchar(8) NULL
syi_mod_user: varchar(8) NULL
syi_mod_date: datetime NULL
syi_add_user: varchar(8) NULL
syi_add_date: datetime NULL
790
state_fund_premium_totals
sfp_id: int IDENTITY
sf_code: char(3) NOT NULL
slo_premium_year: int NOT NULL
la_code: char(2) NOT NULL
sfp_insolv_date: datetime NULL
sfp_amount: money NOT NULL
sfp_mod_user: varchar(8) NULL
sfp_mod_date: datetime NULL
sfp_add_user: varchar(8) NULL
sfp_add_date: datetime NULL
802
assessment_financial_staging
afs_id: int IDENTITY
at_allocation_group_to: int NULL
af_amount: money NULL
fcr_allocated_adjustment: money NULL
cr_id: int NULL
add_user: varchar(8) NULL
admin_bal_adjustment: money NULL
804
assessment_transaction
at_id: int IDENTITY
sf_code: char(3) NOT NULL (FK)
mbr_naic_code: char(5) NOT NULL (FK)
la_code: char(2) NOT NULL (FK)
at_premium_year: int NOT NULL
at_kind: varchar(8) NOT NULL
at_assess_date: datetime NOT NULL
at_allocation_group_id: int NULL (FK)
at_type: varchar(8) NOT NULL
at_assess_amount: money NOT NULL
at_deferred_amount: money NULL
at_reversal: char(1) NOT NULL
at_from_deferred: char(1) NOT NULL
at_adjustment_date: datetime NULL
at_mod_user: varchar(8) NULL
at_mod_date: datetime NULL
at_add_user: varchar(8) NULL
at_add_date: datetime NULL
at_reverse_at_id: int NULL
at_loc_notification: char(1) NULL
806

FIGURE 7A

Screens of Assessments

NAIC Data Load

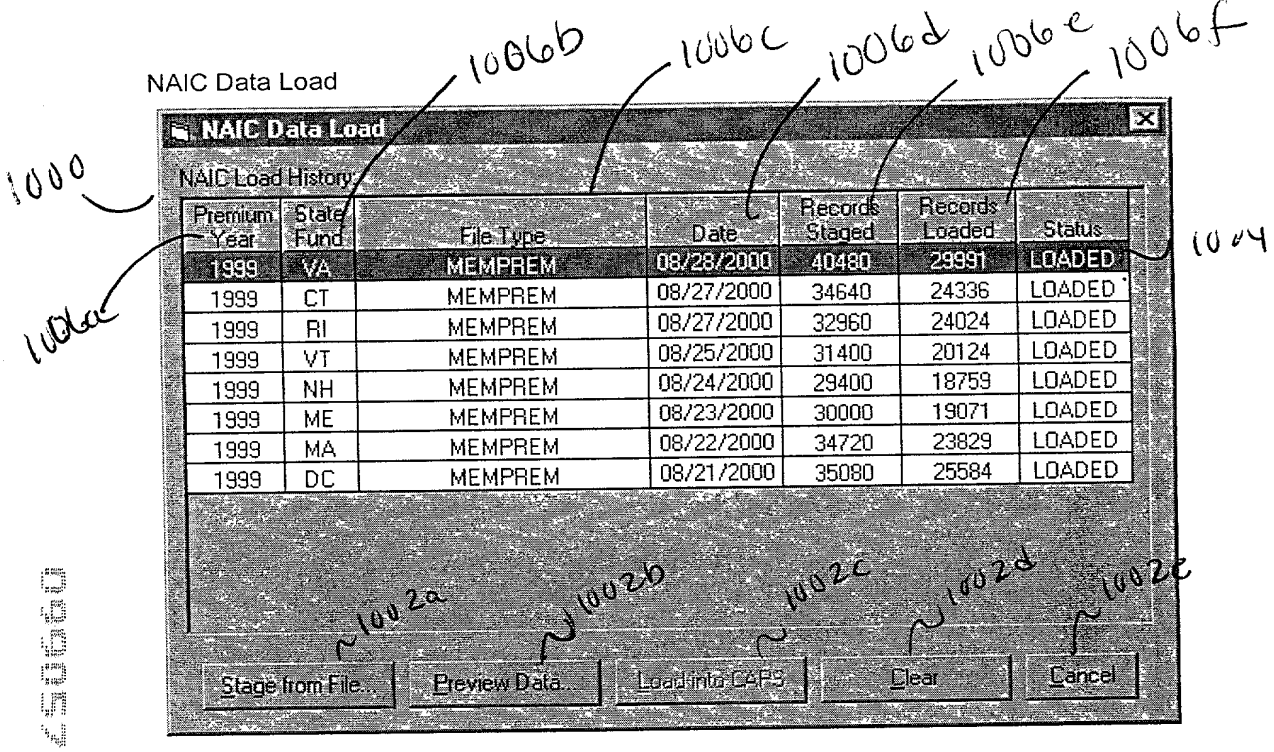


FIGURE 29

Attorney Docket No. 13768.0003

NAIC Data Preview - MEMPREM

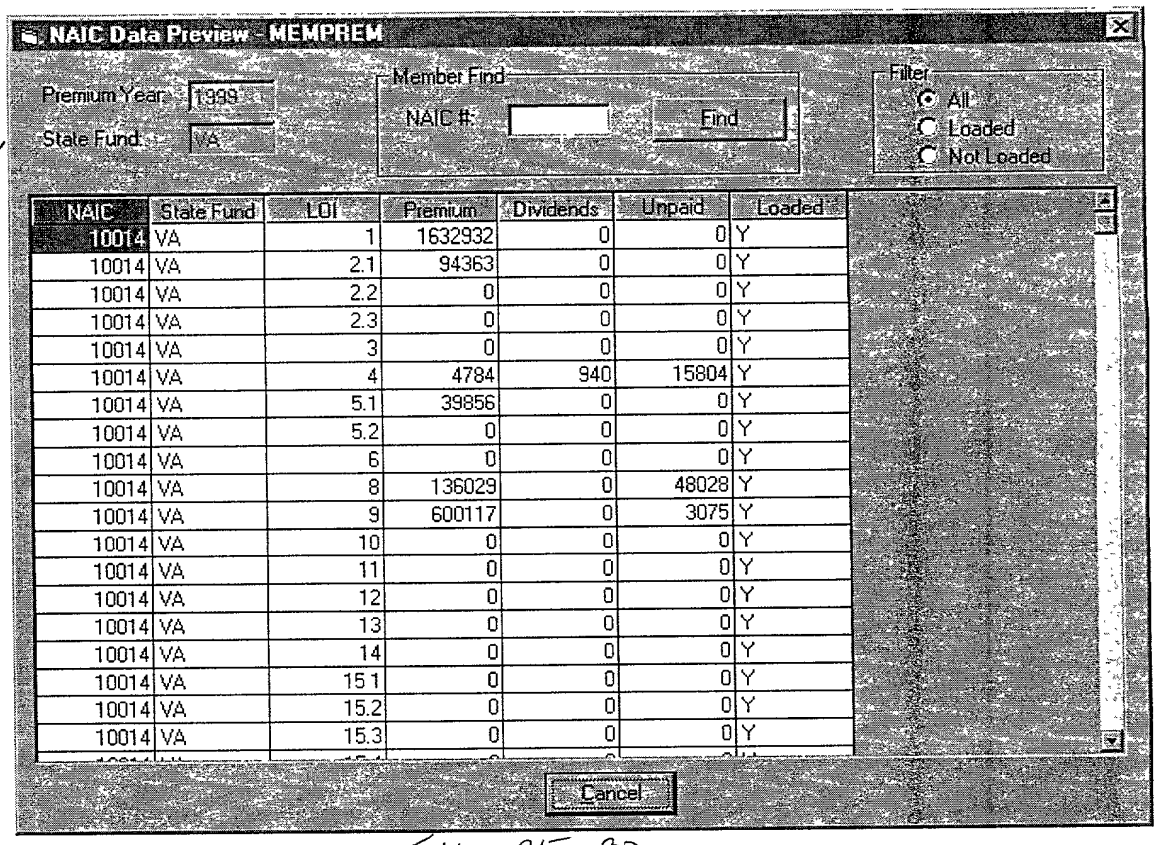


FIGURE 30

NAIC File Staging

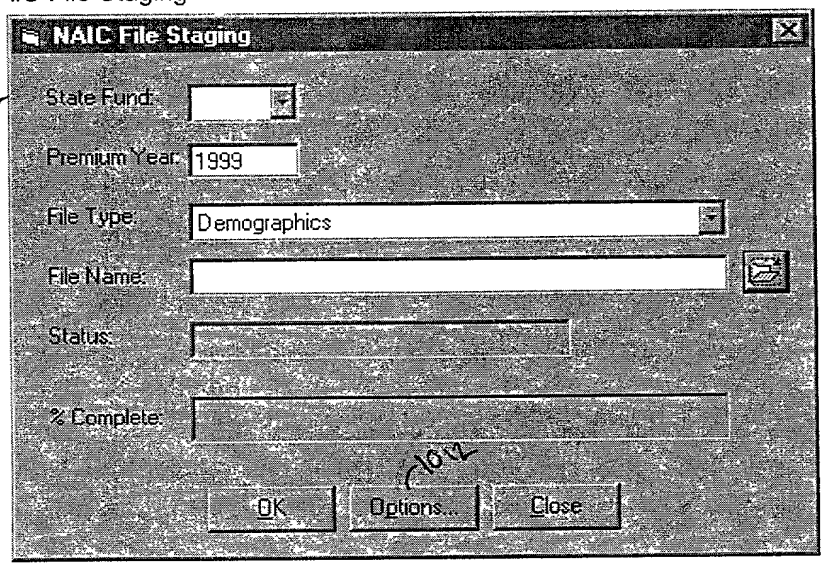
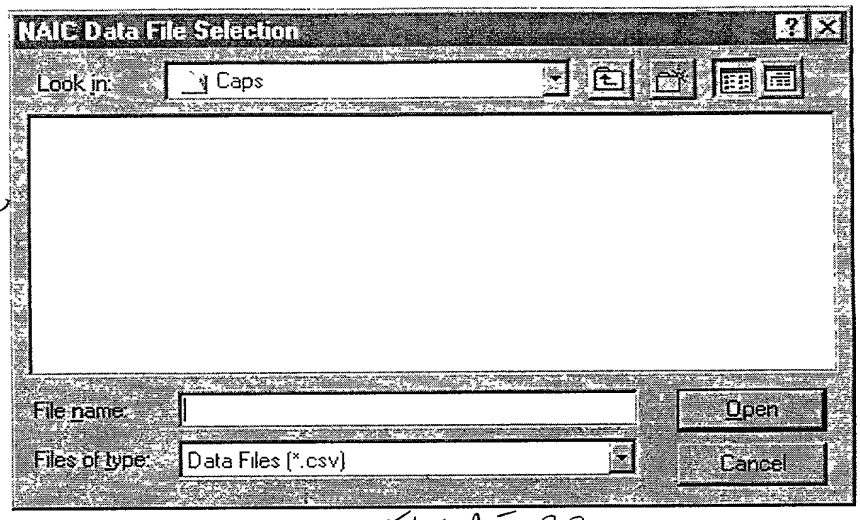


FIGURE 31

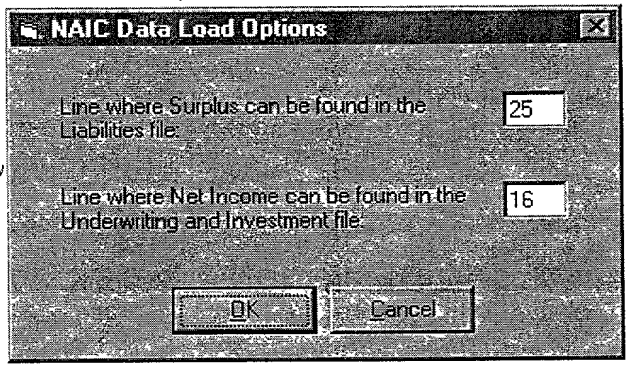
NAIC Data File Selection



1030

FIGURE 32

NAIC Data Load Options



1040

FIGURE 33

Express Mail Label No. EV 325 525 015 US

Premium Summary / Premium Subtotals Tab (scroll left)

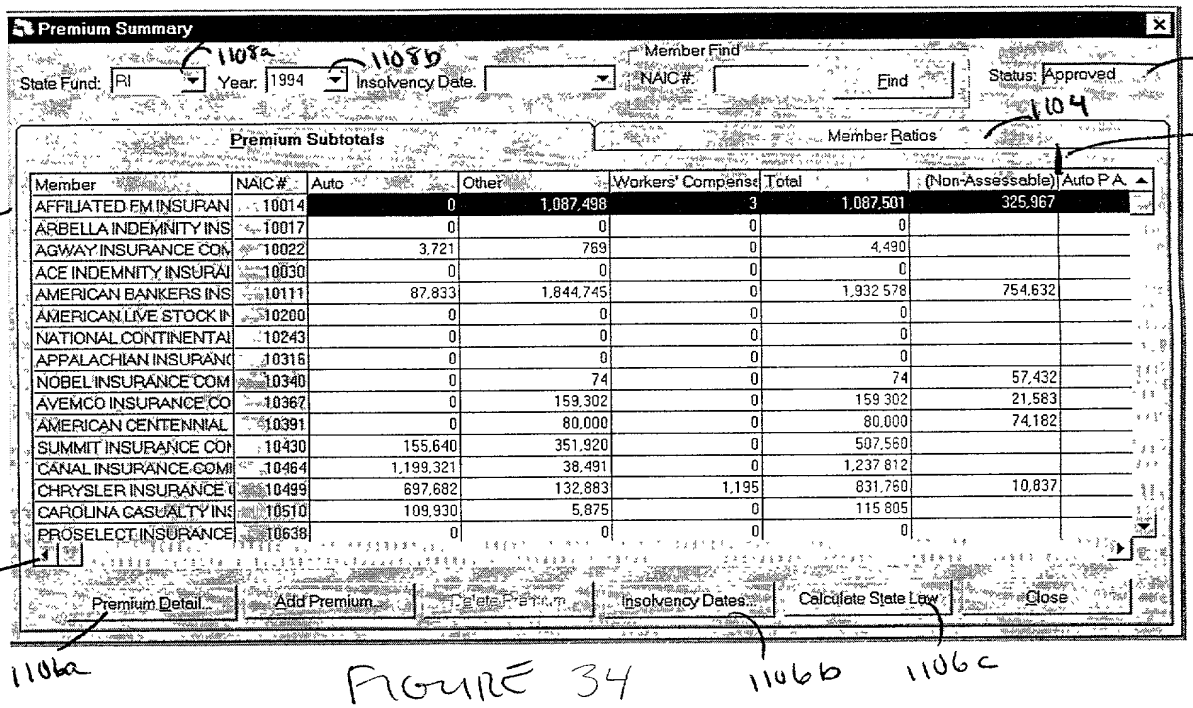


FIGURE 34

Premium Summary / Premium Subtotals Tab (scroll right)

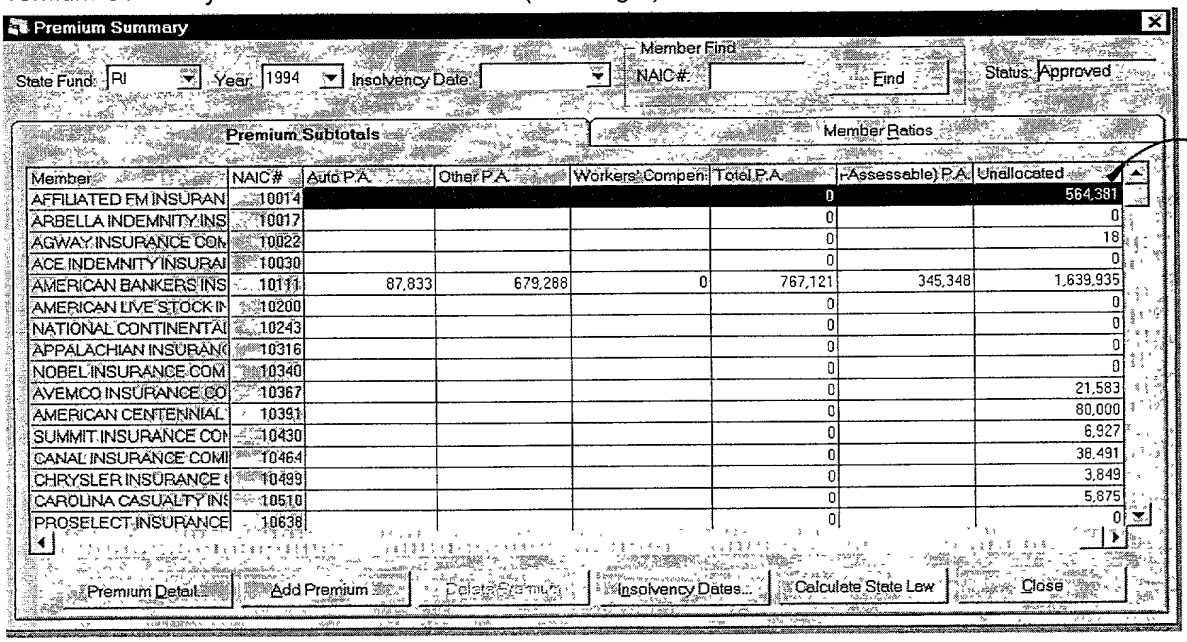
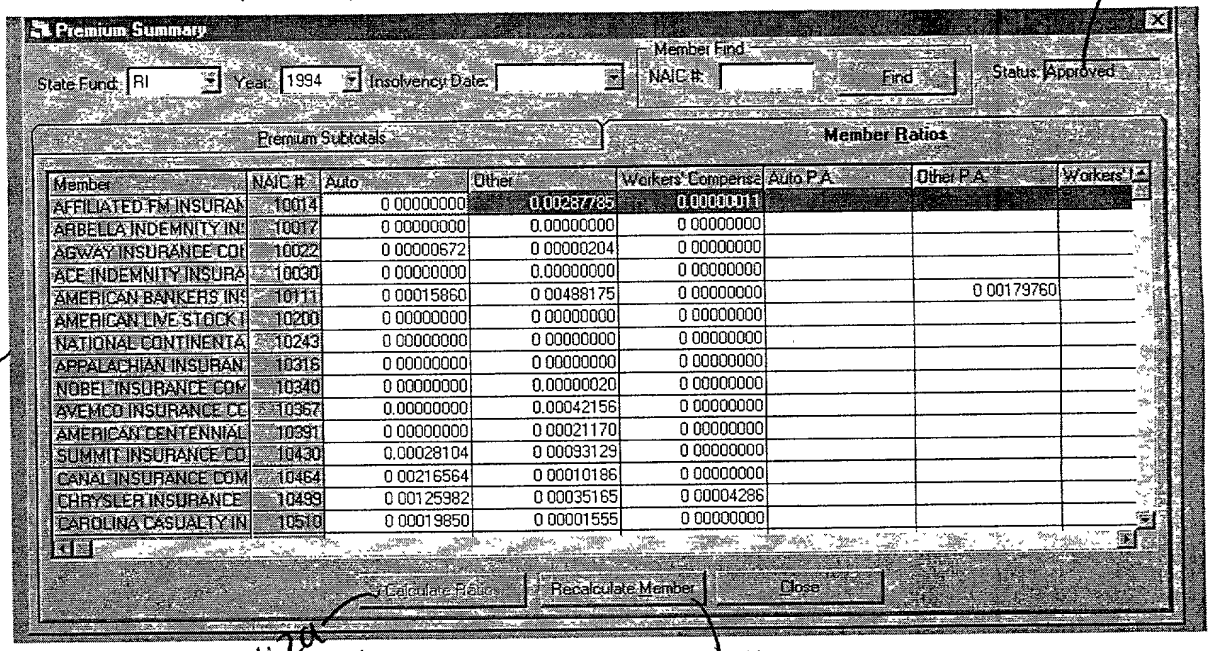


FIGURE 35

Member Ratios Tab (scroll left)



1144a

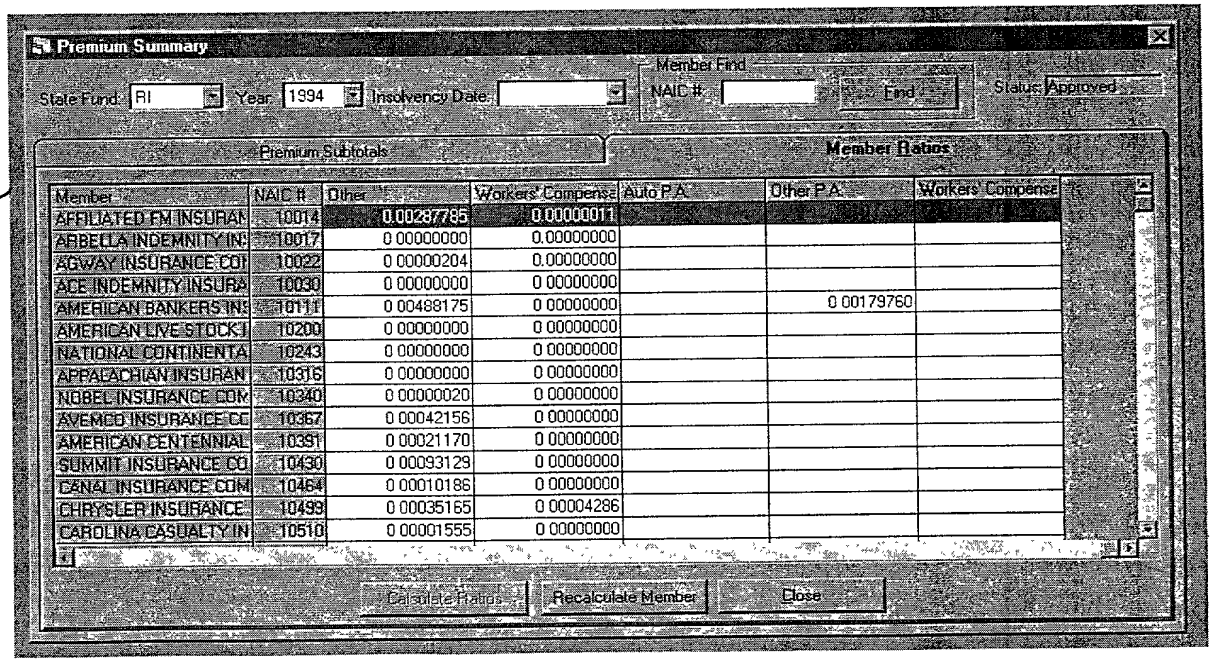
1140a

1142a

1146a

FIGURE 36

Premium Summary / Member Ratios Tab (scroll right)



1140b

FIGURE 37

FILE: 27250.00

Premium Detail (scroll left)

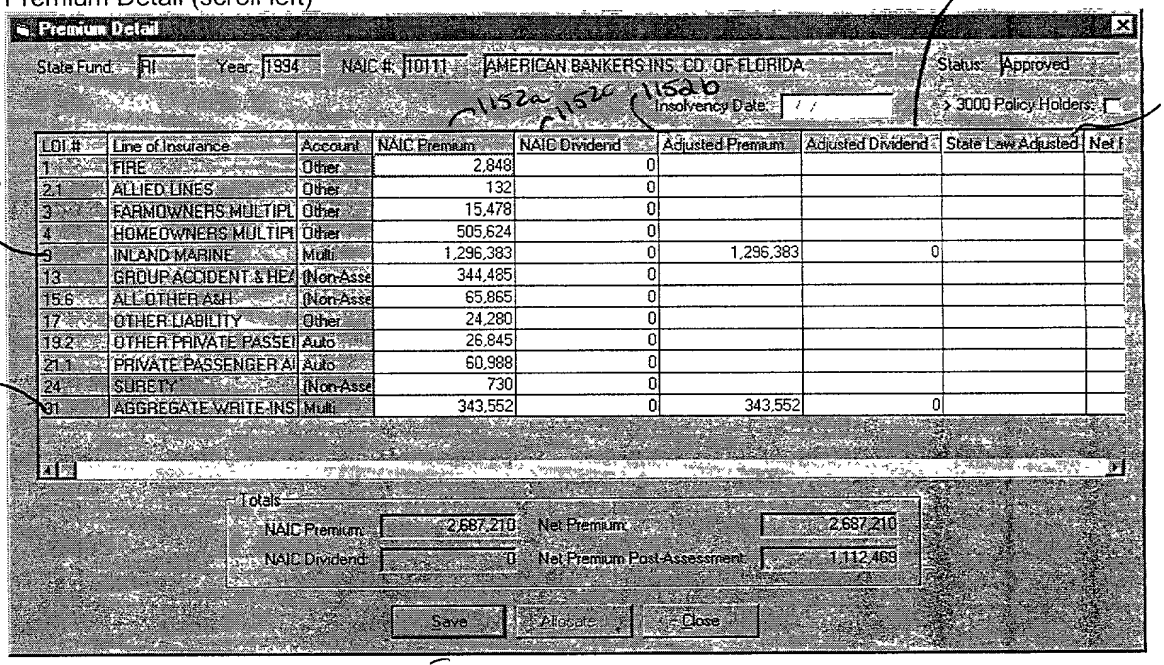


FIGURE 38

Premium Detail (scroll right)

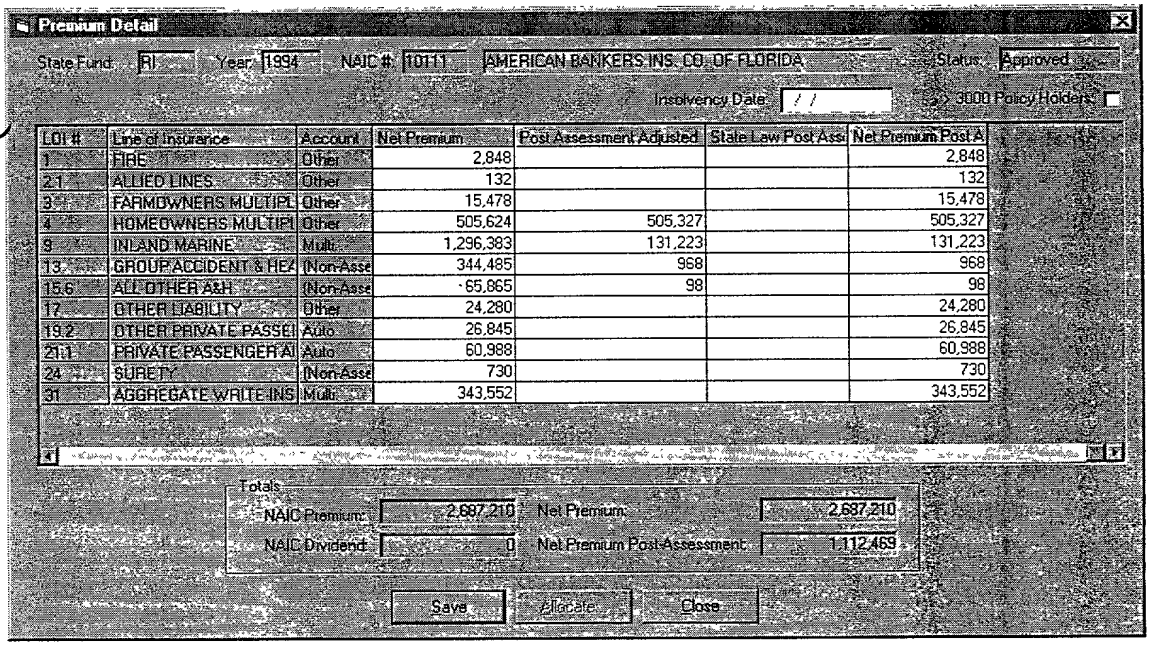


FIGURE 39

Aggregate write-in Allocation window

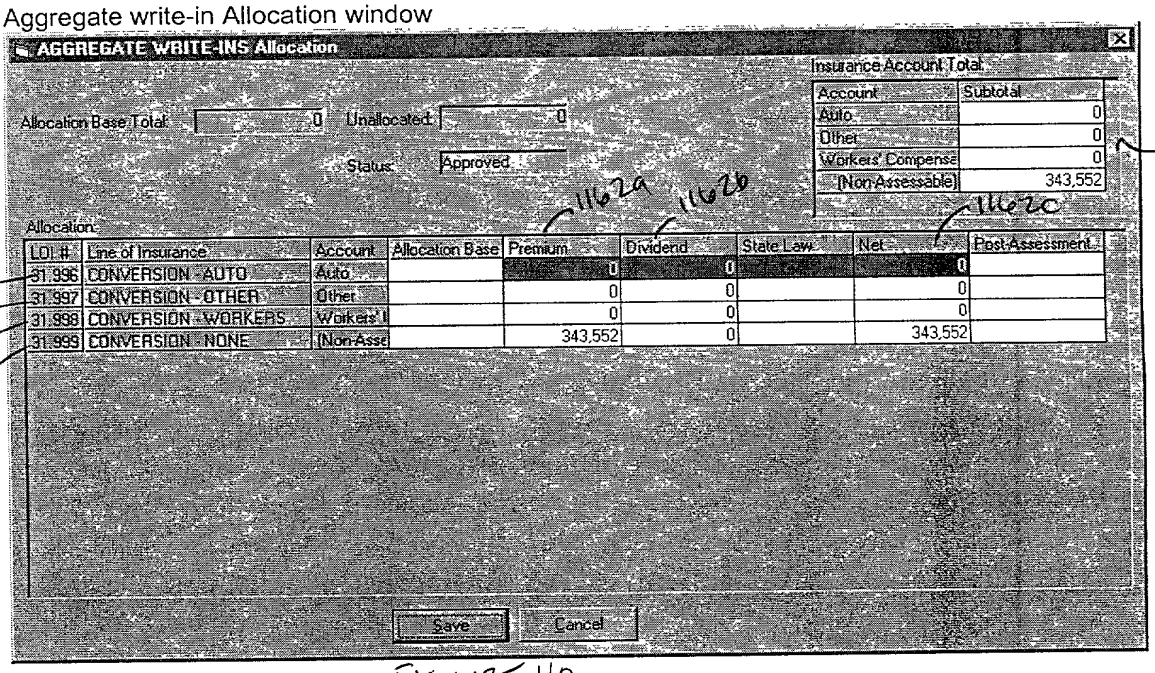


FIGURE 40

Insolvency Date Maintenance

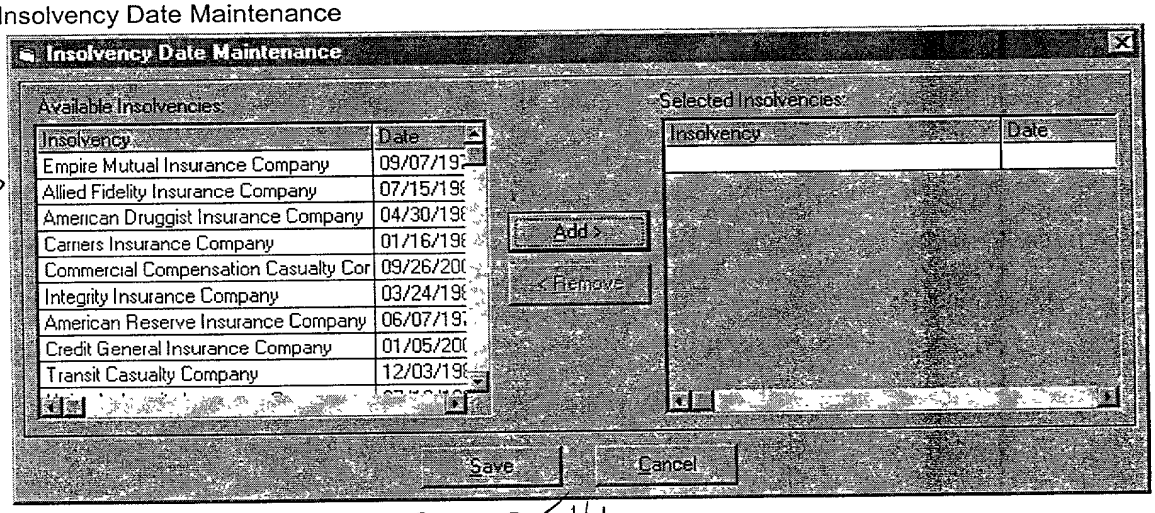


FIGURE 41

Gross Assessment

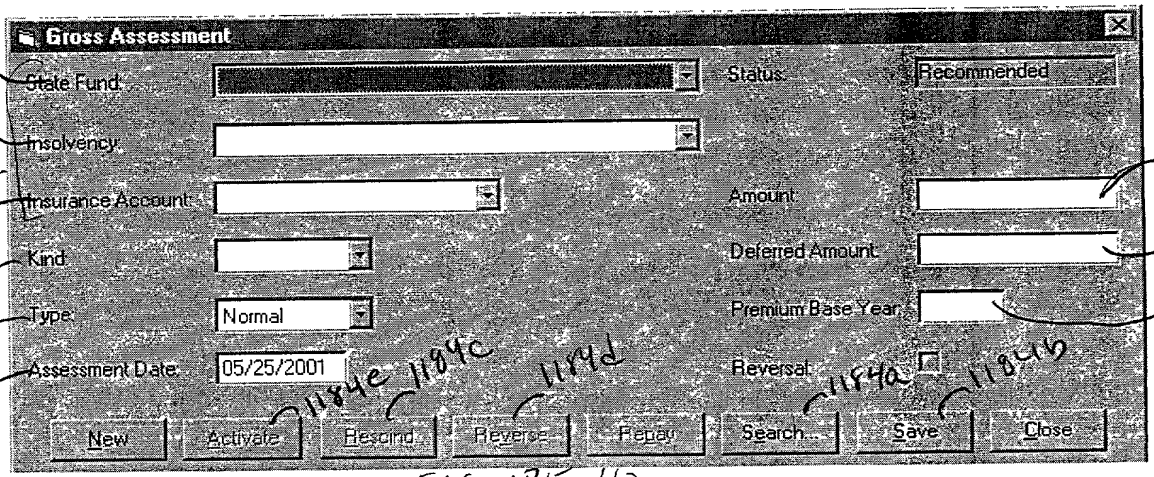
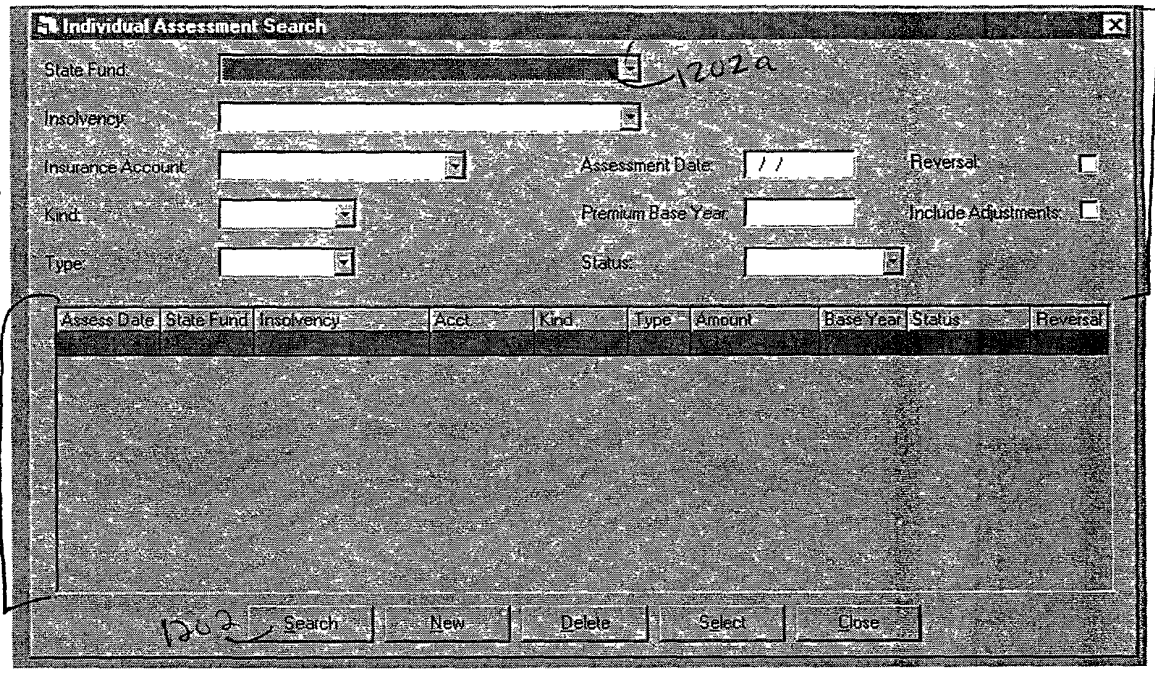


FIGURE 42

FIGURE 43

Individual Assessment Search



Allocate / Approve Assessment

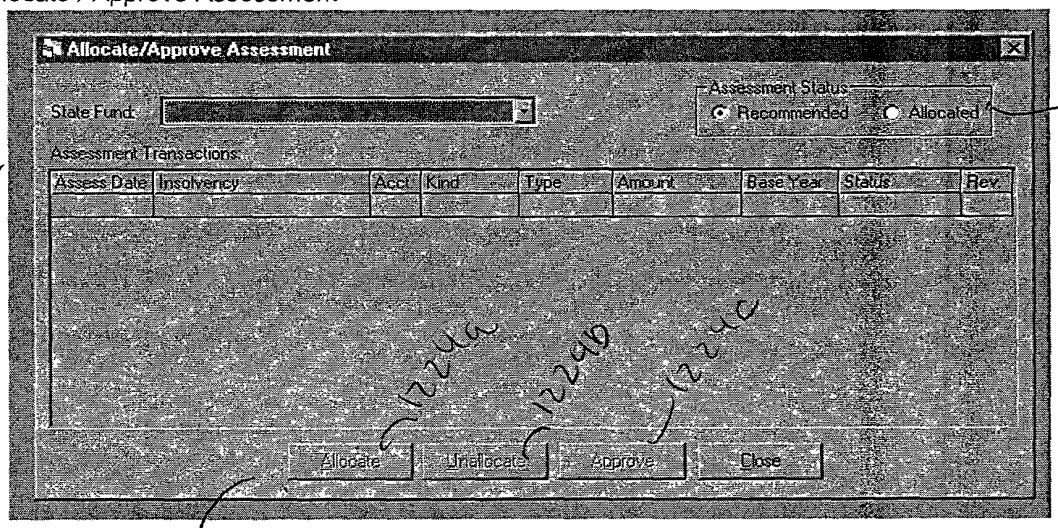
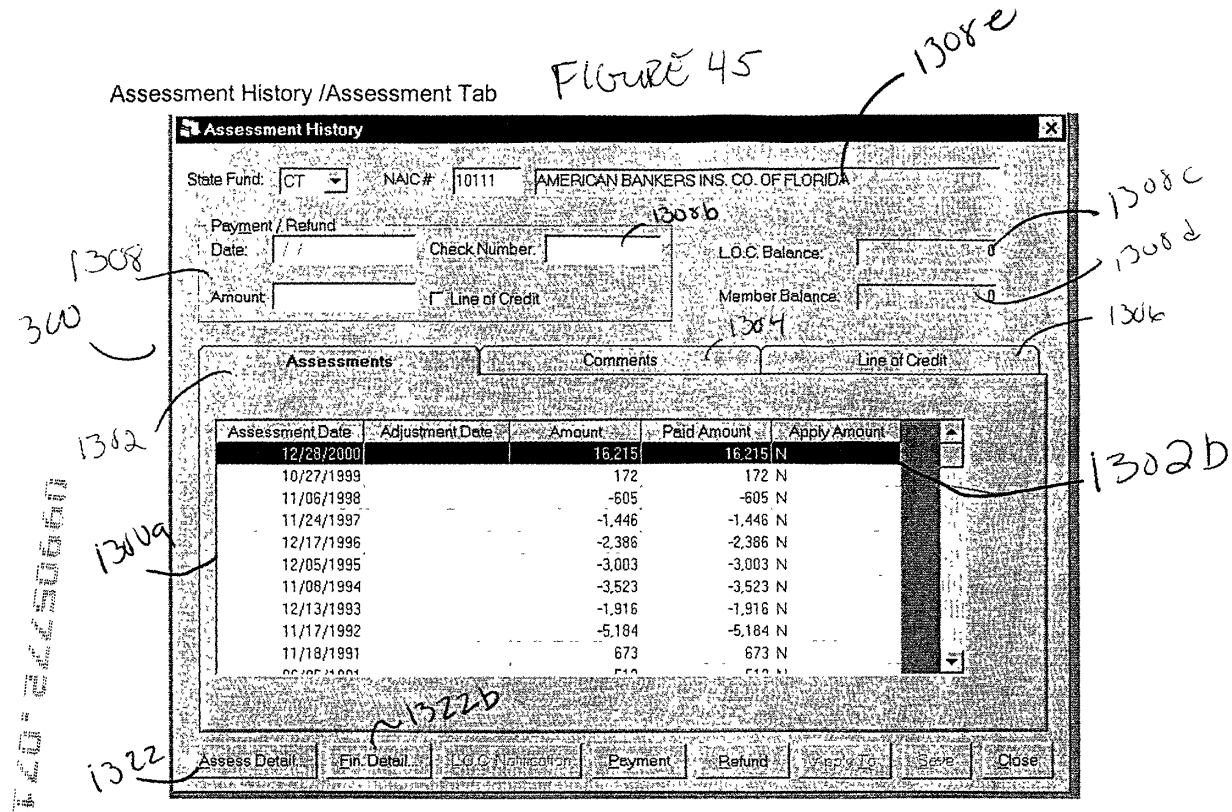


FIGURE 44

Assessment History /Assessment Tab

FIGURE 45



Assessment History / Comments Tab

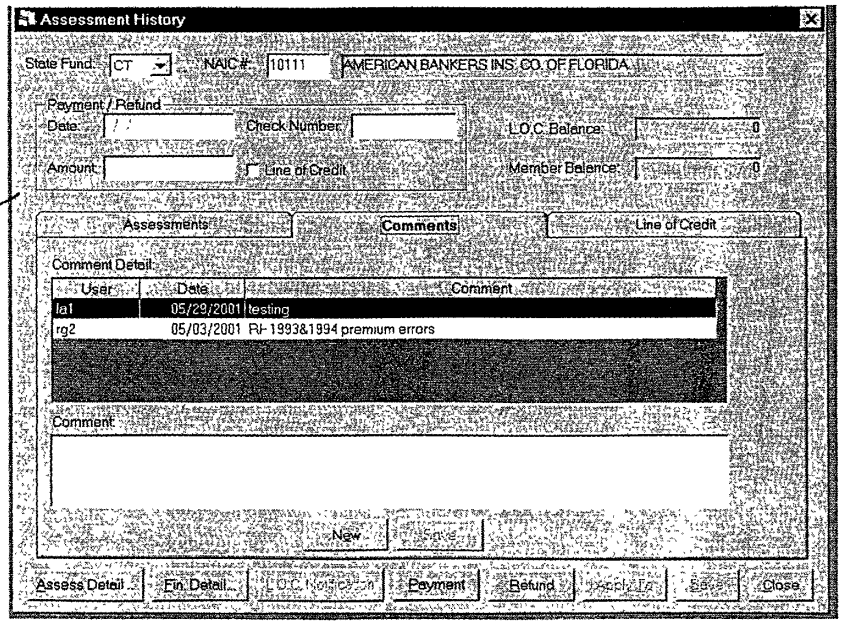


FIGURE 46

Assessment History / Line of Credit Tab

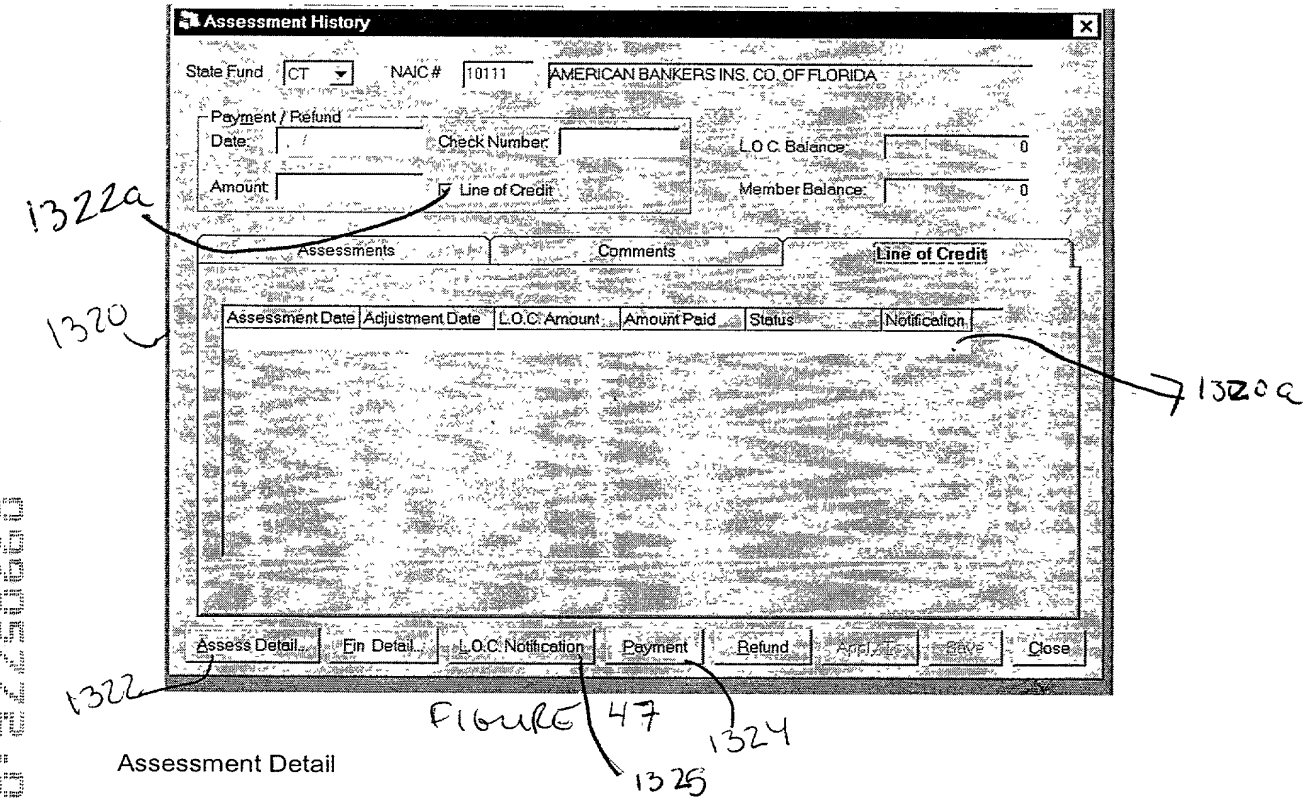


FIGURE 47

Assessment Detail

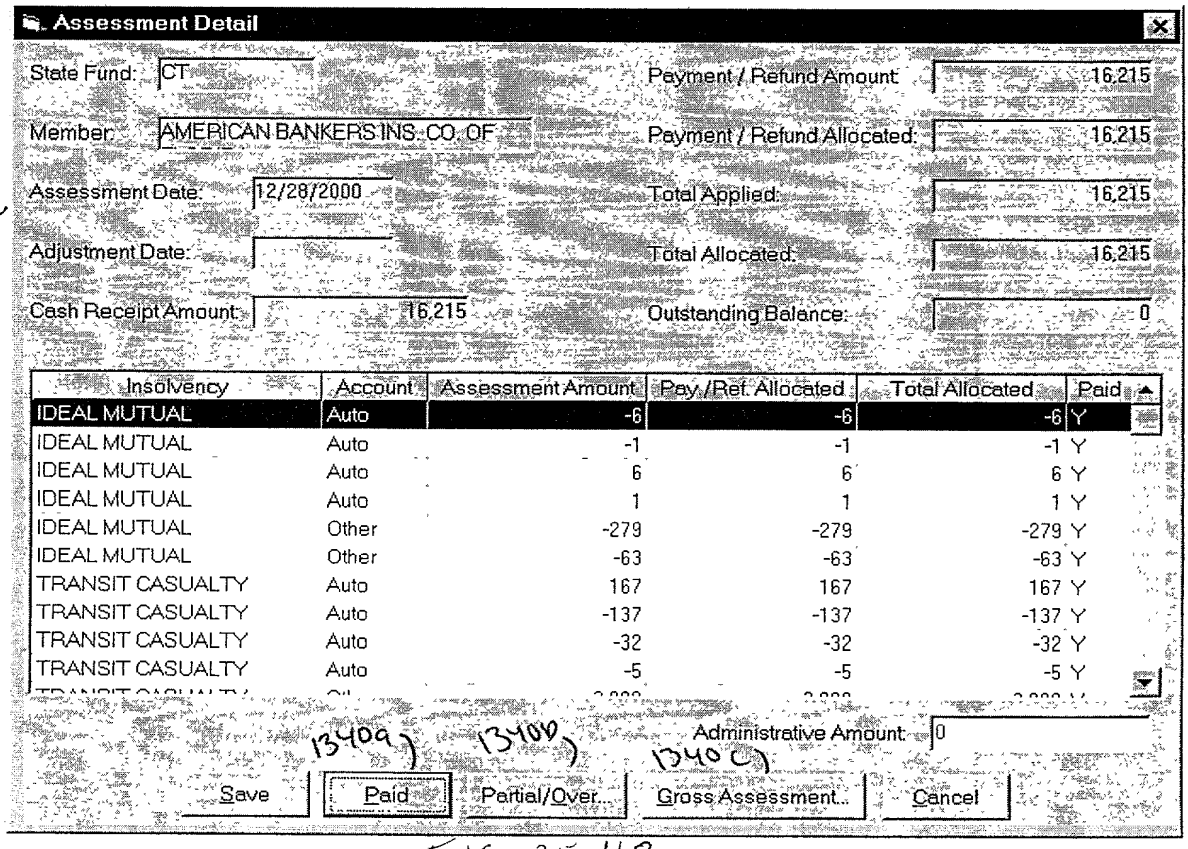
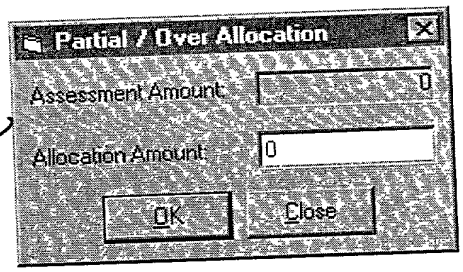


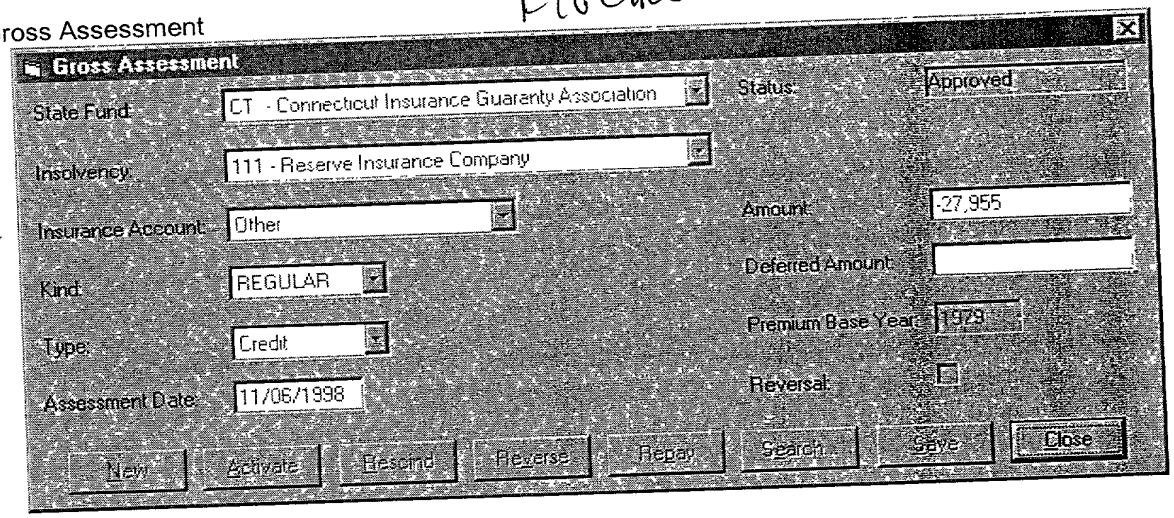
FIGURE 48

Partial / Over Allocation FIGURE 49



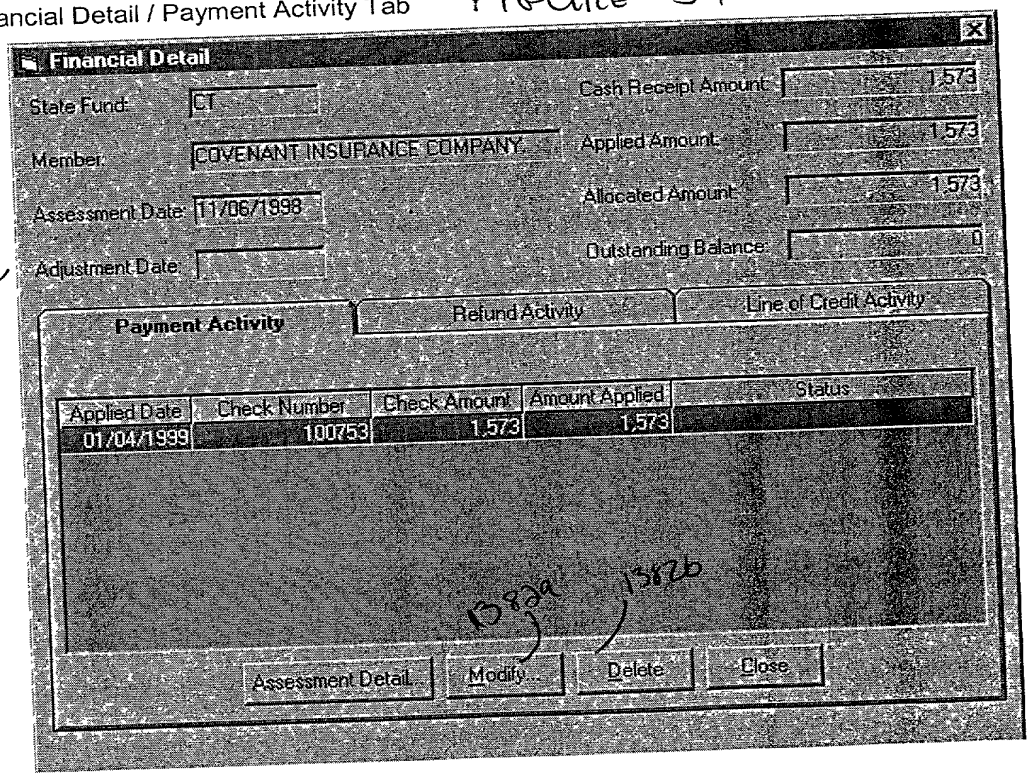
1350

Gross Assessment FIGURE 50



1360

Financial Detail / Payment Activity Tab FIGURE 51

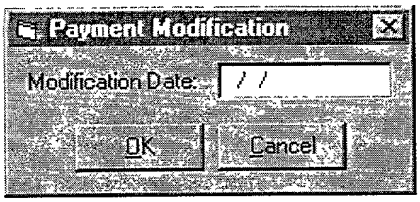


1380

1382a

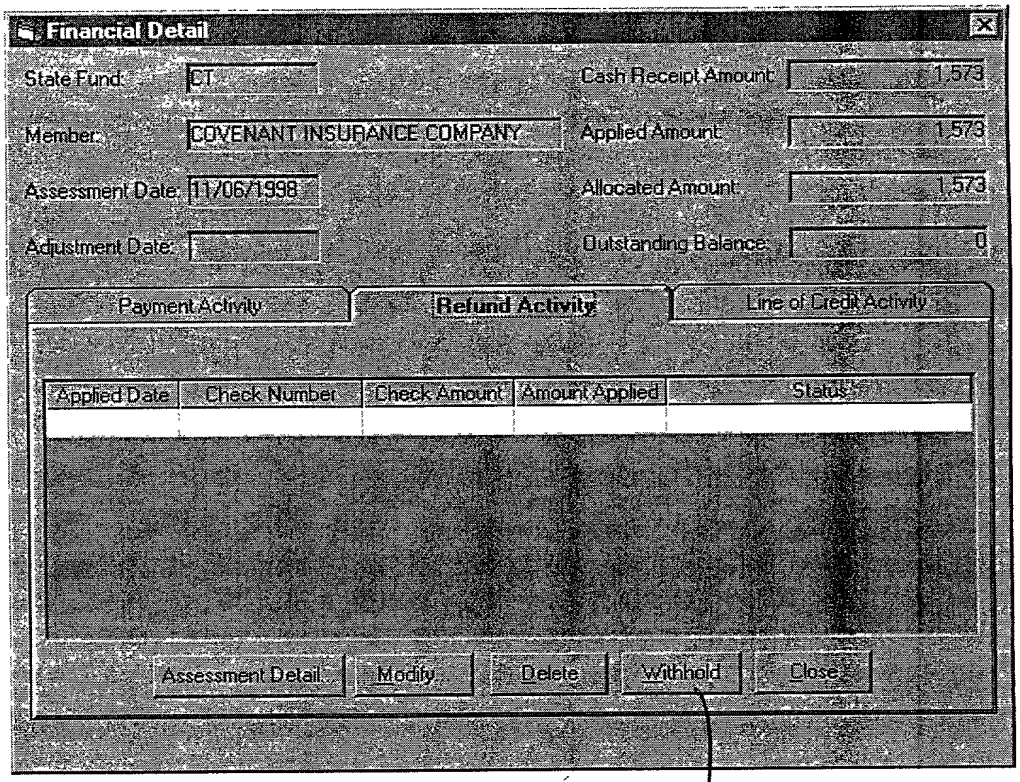
1382b

Payment Modification FIGURE 52



1400

Financial Detail / Refund Activity Tab FIGURE 53



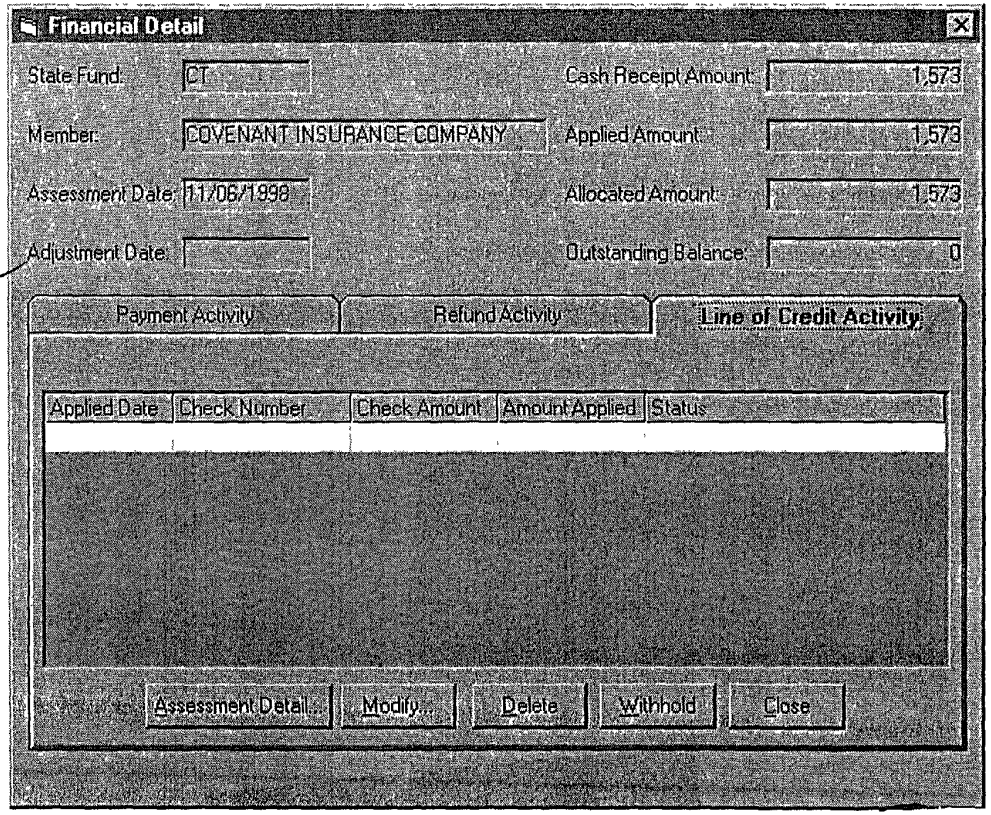
1410

1412

EXHIBIT 2 - PAGE 53 OF 58

Financial Detail / Line of Credit Activity Tab FIGURE 54

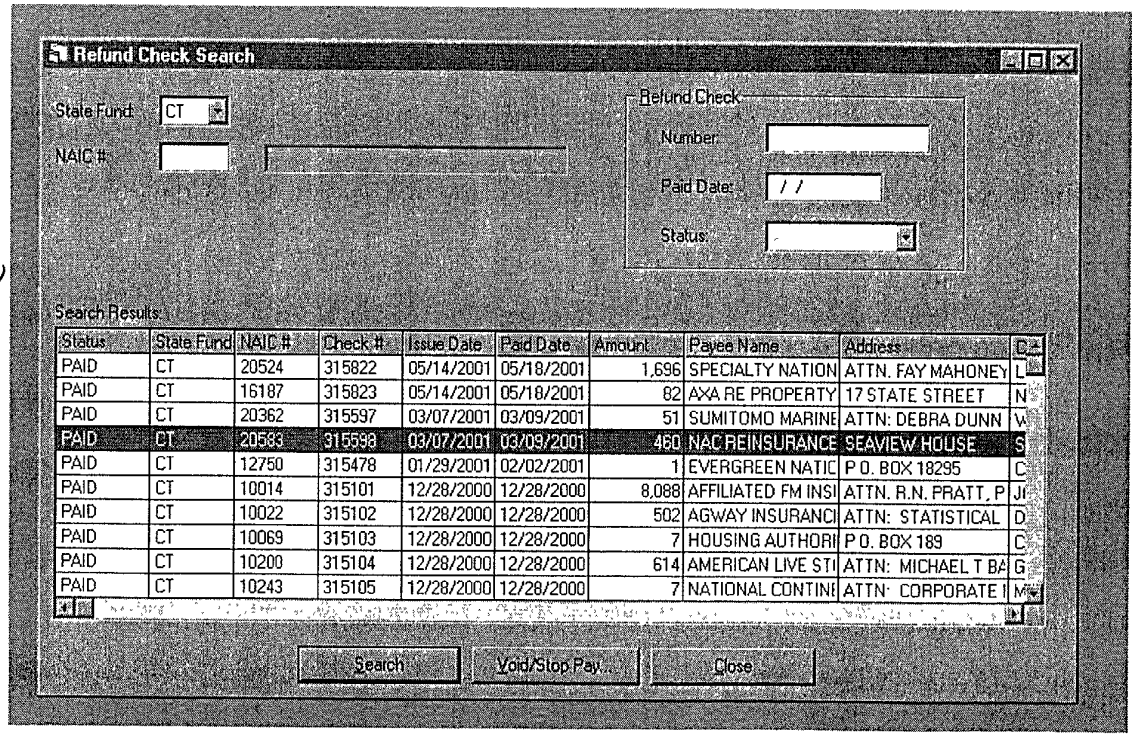
1420



Refund Check Search

FIGURE 55

1450



Status	State Fund	NAIC #	Check #	Issue Date	Paid Date	Amount	Payee Name	Address	C
PAID	CT	20524	315822	05/14/2001	05/18/2001	1,696	SPECIALTY NATION	ATTN. FAY MAHONEY	L
PAID	CT	16187	315823	05/14/2001	05/18/2001	82	AXA RE PROPERTY	17 STATE STREET	N
PAID	CT	20362	315597	03/07/2001	03/09/2001	51	SUMITOMO MARINE	ATTN: DEBRA DUNN	W
PAID	CT	20583	315598	03/07/2001	03/09/2001	460	NAC REINSURANCE	SEAVIEW HOUSE	S
PAID	CT	12750	315478	01/29/2001	02/02/2001	1	EVERGREEN NATIC	P O. BOX 18295	C
PAID	CT	10014	315101	12/28/2000	12/28/2000	8,088	AFFILIATED FM INSI	ATTN. R.N. PRATT, P	JI
PAID	CT	10022	315102	12/28/2000	12/28/2000	502	AGWAY INSURANCI	ATTN: STATISTICAL	D
PAID	CT	10069	315103	12/28/2000	12/28/2000	7	HOUSING AUTHORI	P O. BOX 189	C
PAID	CT	10200	315104	12/28/2000	12/28/2000	614	AMERICAN LIVE STI	ATTN: MICHAEL T BA	G
PAID	CT	10243	315105	12/28/2000	12/28/2000	7	NATIONAL CONTINI	ATTN: CORPORATE I	M

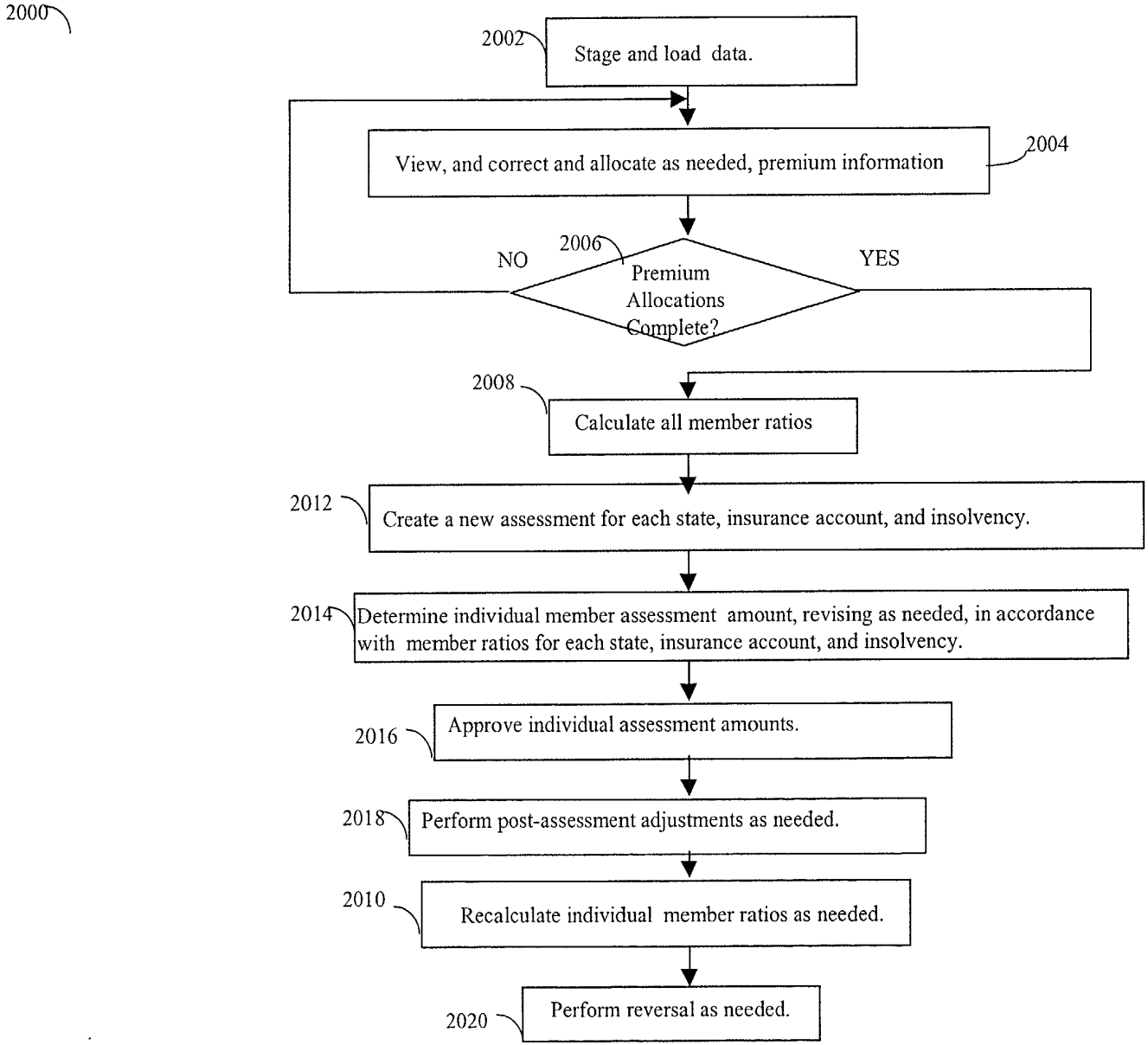

2000
2002
Stage and load data.
View, and correct and allocate as needed, premium information
2004
2006
NO
Premium Allocations Complete?
YES
2008
Calculate all member ratios
2012
Create a new assessment for each state, insurance account, and insolvency.
2014
Determine individual member assessment amount, revising as needed, in accordance with member ratios for each state, insurance account, and insolvency.
2016
Approve individual assessment amounts.
2018
Perform post-assessment adjustments as needed.
2010
Recalculate individual member ratios as needed.
2020
Perform reversal as needed.

FIGURE 56

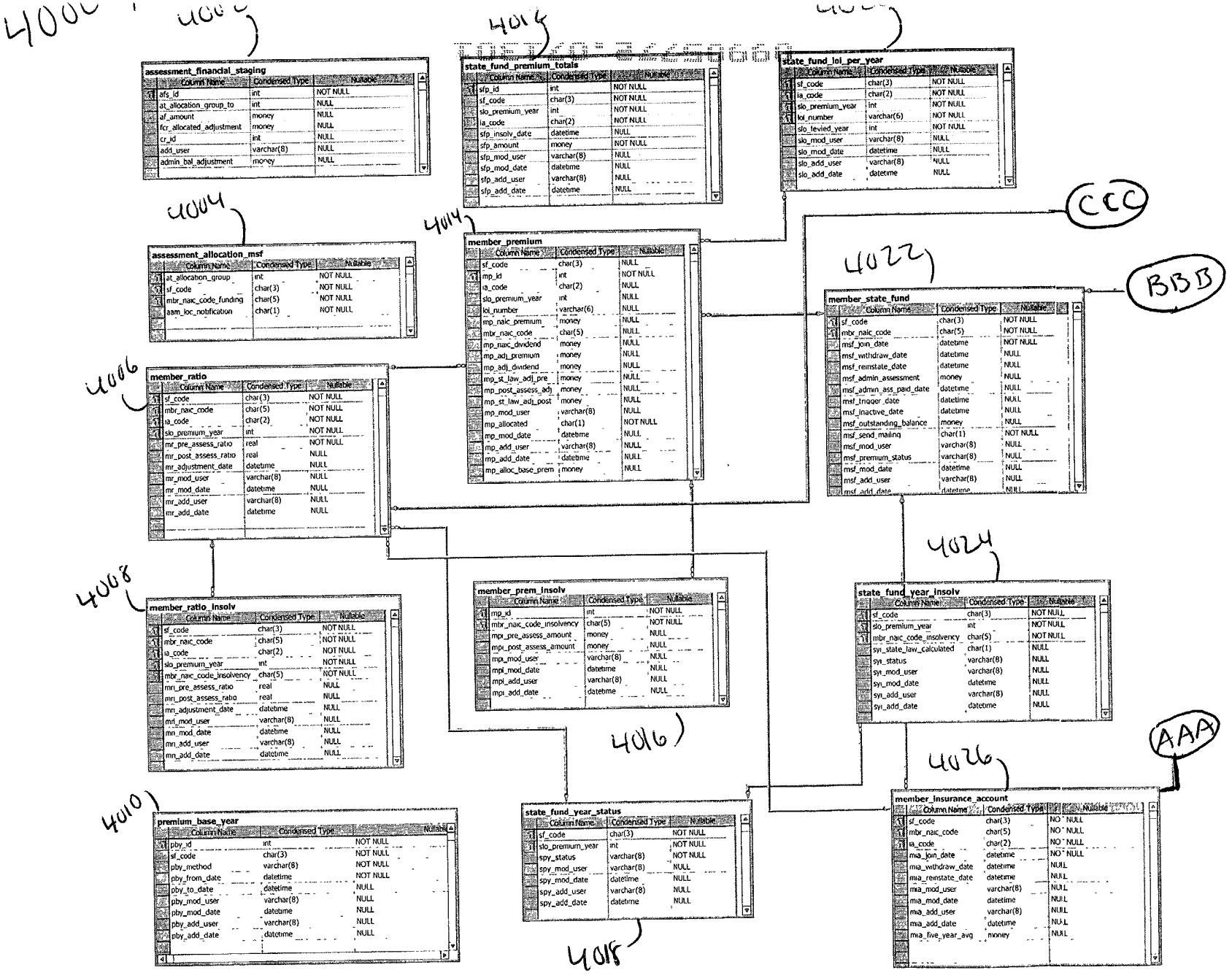

4000
4002
assessment_financial_staging
afs_id int NOT NULL
at_allocation_group_to int NULL
af_amount money NULL
fcr_allocated_adjustment money NULL
cr_id int NULL
add_user varchar(8) NULL
admin_bal_adjustment money NULL
4004
assessment_allocation_msf
at_allocation_group int NOT NULL
sf_code char(3) NOT NULL
mbr_naic_code_funding char(5) NOT NULL
aam_loc_notification char(1) NOT NULL
4006
member_ratio
sf_code char(3) NOT NULL
mbr_naic_code char(5) NOT NULL
ia_code char(2) NOT NULL
slo_premium_year int NOT NULL
mr_pre_assess_ratio real NOT NULL
mr_post_assess_ratio real NULL
mr_adjustment_date datetime NULL
mr_mod_user varchar(8) NULL
mr_mod_date datetime NULL
mr_add_user varchar(8) NULL
mr_add_date datetime NULL
4008
member_ratio_insolv
sf_code char(3) NOT NULL
mbr_naic_code char(5) NOT NULL
ia_code char(2) NOT NULL
slo_premium_year int NOT NULL
mbr_naic_code_insolvency char(5) NOT NULL
mri_pre_assess_ratio real NULL
mri_post_assess_ratio real NULL
mri_adjustment_date datetime NULL
mri_mod_user varchar(8) NULL
mri_mod_date datetime NULL
mri_add_user varchar(8) NULL
mri_add_date datetime NULL
4010
premium_base_year
pby_id int NOT NULL
sf_code char(3) NOT NULL
pby_method varchar(8) NOT NULL
pby_from_date datetime NOT NULL
pby_to_date datetime NULL
pby_mod_user varchar(8) NULL
pby_mod_date datetime NULL
pby_add_user varchar(8) NULL
pby_add_date datetime NULL
4012
state_fund_premium_totals
sfp_id int NOT NULL
sf_code char(3) NOT NULL
slo_premium_year int NOT NULL
ia_code char(2) NOT NULL
sfp_insolv_date datetime NULL
sfp_amount money NOT NULL
sfp_mod_user varchar(8) NULL
sfp_mod_date datetime NULL
sfp_add_user varchar(8) NULL
sfp_add_date datetime NULL
4014
member_premium
sf_code char(3) NULL
mp_id int NOT NULL
ia_code char(2) NULL
slo_premium_year int NULL
loi_number varchar(6) NULL
mp_naic_premium money NULL
mbr_naic_code char(5) NULL
mp_naic_dividend money NULL
mp_adj_premium money NULL
mp_adj_dividend money NULL
mp_st_law_adj_pre money NULL
mp_post_assess_adj money NULL
mp_st_law_adj_post money NULL
mp_mod_user varchar(8) NULL
mp_allocated char(1) NOT NULL
mp_mod_date datetime NULL
mp_add_user varchar(8) NULL
mp_add_date datetime NULL
mp_alloc_base_prem money NULL
4016
member_prem_insolv
mp_id int NOT NULL
mbr_naic_code_insolvency char(5) NOT NULL
mpi_pre_assess_amount money NULL
mpi_post_assess_amount money NULL
mpi_mod_user varchar(8) NULL
mpi_mod_date datetime NULL
mpi_add_user varchar(8) NULL
mpi_add_date datetime NULL
4018
state_fund_year_status
sf_code char(3) NOT NULL
slo_premium_year int NOT NULL
spy_status varchar(8) NOT NULL
spy_mod_user varchar(8) NULL
spy_mod_date datetime NULL
spy_add_user varchar(8) NULL
spy_add_date datetime NULL
4020
state_fund_loi_per_year
sf_code char(3) NOT NULL
ia_code char(2) NOT NULL
slo_premium_year int NOT NULL
loi_number varchar(6) NOT NULL
slo_levied_year int NOT NULL
slo_mod_user varchar(8) NULL
slo_mod_date datetime NULL
slo_add_user varchar(8) NULL
slo_add_date datetime NULL
CCC
4022
member_state_fund
sf_code char(3) NOT NULL
mbr_naic_code char(5) NOT NULL
msf_join_date datetime NOT NULL
msf_withdraw_date datetime NULL
msf_reinstate_date datetime NULL
msf_admin_assessment money NULL
msf_admn_ass_paid_date datetime NULL
msf_trigger_date datetime NULL
msf_inactive_date datetime NULL
msf_outstanding_balance money NULL
msf_send_mailing char(1) NOT NULL
msf_mod_user varchar(8) NULL
msf_premium_status varchar(8) NULL
msf_mod_date datetime NULL
msf_add_user varchar(8) NULL
msf_add_date datetime NULL
BBB
4024
state_fund_year_insolv
sf_code char(3) NOT NULL
slo_premium_year int NOT NULL
mbr_naic_code_insolvency char(5) NOT NULL
syi_state_law_calculated char(1) NULL
syi_status varchar(8) NULL
syi_mod_user varchar(8) NULL
syi_mod_date datetime NULL
syi_add_user varchar(8) NULL
syi_add_date datetime NULL
4026
member_insurance_account
sf_code char(3) NO NULL
mbr_naic_code char(5) NO NULL
ia_code char(2) NO NULL
mia_join_date datetime NO NULL
mia_withdraw_date datetime NULL
mia_reinstate_date datetime NULL
mia_mod_user varchar(8) NULL
mia_mod_date datetime NULL
mia_add_user varchar(8) NULL
mia_add_date datetime NULL
mia_five_year_avg money NULL
AAA

FIGURE 5+A

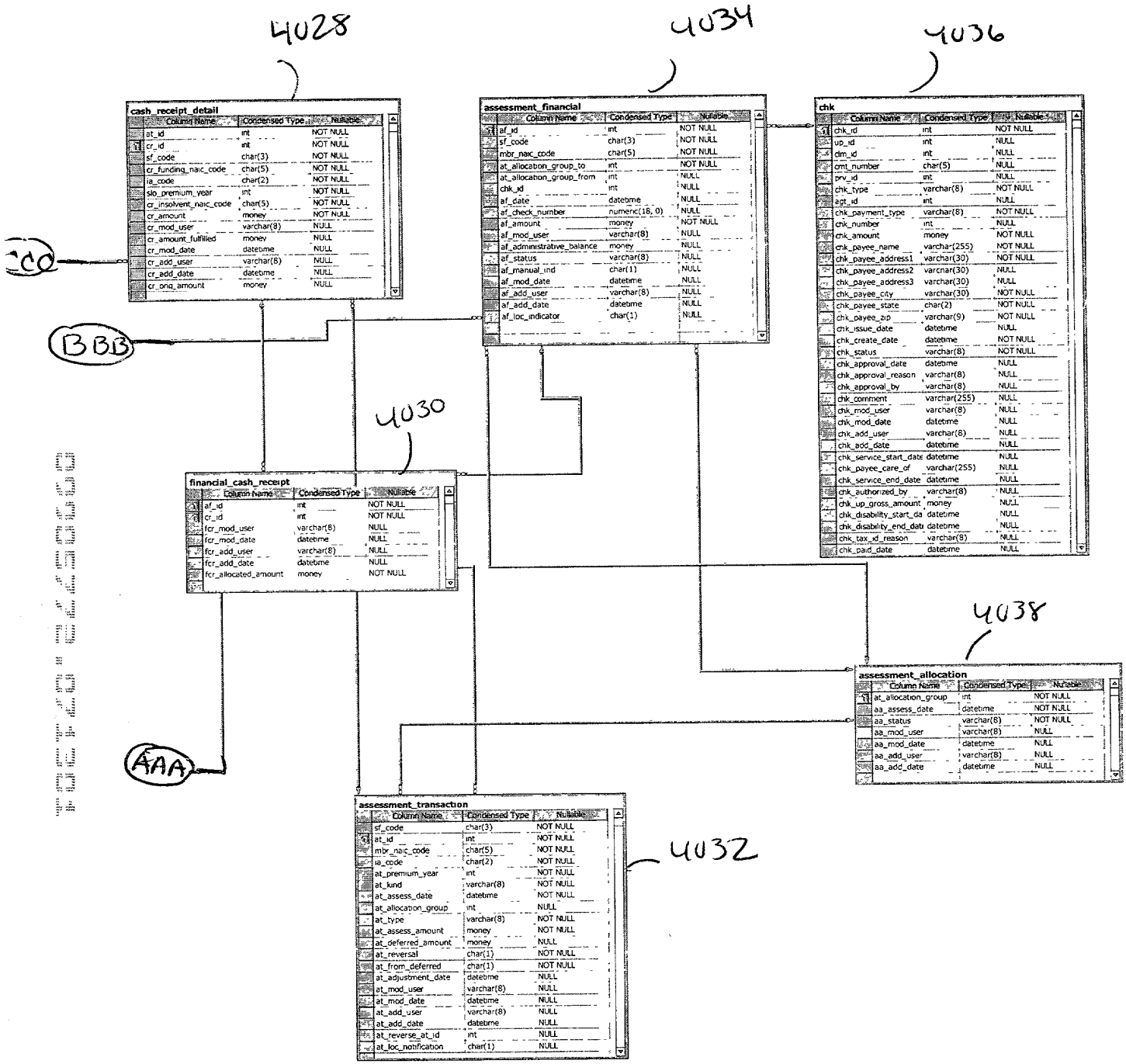

4028
4034
4036
cash_receipt_detail
Column Name | Condensed Type | Nullable
ct_id | int | NOT NULL
cr_id | int | NOT NULL
sf_code | char(3) | NOT NULL
cr_funding_naic_code | char(5) | NOT NULL
ia_code | char(2) | NOT NULL
slo_premium_year | int | NOT NULL
cr_insolvent_naic_code | char(5) | NOT NULL
cr_amount | money | NOT NULL
cr_mod_user | varchar(8) | NULL
cr_amount_fulfilled | money | NULL
cr_mod_date | datetime | NULL
cr_add_user | varchar(8) | NULL
cr_add_date | datetime | NULL
cr_orig_amount | money | NULL
assessment_financial
Column Name | Condensed Type | Nullable
af_id | int | NOT NULL
sf_code | char(3) | NOT NULL
mbr_naic_code | char(5) | NOT NULL
at_allocation_group_to | int | NOT NULL
at_allocation_group_from | int | NULL
chk_id | int | NULL
af_date | datetime | NULL
af_check_number | numeric(18, 0) | NULL
af_amount | money | NOT NULL
af_mod_user | varchar(8) | NULL
af_administrative_balance | money | NULL
af_status | varchar(8) | NULL
af_manual_ind | char(1) | NULL
af_mod_date | datetime | NULL
af_add_user | varchar(8) | NULL
af_add_date | datetime | NULL
af_loc_indicator | char(1) | NULL
chk
Column Name | Condensed Type | Nullable
chk_id | int | NOT NULL
up_id | int | NULL
dm_id | int | NULL
cmt_number | char(5) | NULL
prv_id | int | NULL
chk_type | varchar(8) | NOT NULL
agt_id | int | NULL
chk_payment_type | varchar(8) | NOT NULL
chk_number | int | NULL
chk_amount | money | NOT NULL
chk_payee_name | varchar(255) | NOT NULL
chk_payee_address1 | varchar(30) | NOT NULL
chk_payee_address2 | varchar(30) | NULL
chk_payee_address3 | varchar(30) | NULL
chk_payee_city | varchar(30) | NOT NULL
chk_payee_state | char(2) | NOT NULL
chk_payee_zip | varchar(9) | NOT NULL
chk_issue_date | datetime | NULL
chk_create_date | datetime | NOT NULL
chk_status | varchar(8) | NOT NULL
chk_approval_date | datetime | NULL
chk_approval_reason | varchar(8) | NULL
chk_approval_by | varchar(8) | NULL
chk_comment | varchar(255) | NULL
chk_mod_user | varchar(8) | NULL
chk_mod_date | datetime | NULL
chk_add_user | varchar(8) | NULL
chk_add_date | datetime | NULL
chk_service_start_date | datetime | NULL
chk_payee_care_of | varchar(255) | NULL
chk_service_end_date | datetime | NULL
chk_authorized_by | varchar(8) | NULL
chk_up_gross_amount | money | NULL
chk_disability_start_da | datetime | NULL
chk_disability_end_date | datetime | NULL
chk_tax_id_reason | varchar(8) | NULL
chk_paid_date | datetime | NULL
CCC
BBB
4030
financial_cash_receipt
Column Name | Condensed Type | Nullable
af_id | int | NOT NULL
cr_id | int | NOT NULL
fcr_mod_user | varchar(8) | NULL
fcr_mod_date | datetime | NULL
fcr_add_user | varchar(8) | NULL
fcr_add_date | datetime | NULL
fcr_allocated_amount | money | NOT NULL
4038
assessment_allocation
Column Name | Condensed Type | Nullable
at_allocation_group | int | NOT NULL
aa_assess_date | datetime | NOT NULL
aa_status | varchar(8) | NOT NULL
aa_mod_user | varchar(8) | NULL
aa_mod_date | datetime | NULL
aa_add_user | varchar(8) | NULL
aa_add_date | datetime | NULL
AAA
assessment_transaction
Column Name | Condensed Type | Nullable
sf_code | char(3) | NOT NULL
at_id | int | NOT NULL
mbr_naic_code | char(5) | NOT NULL
ia_code | char(2) | NOT NULL
at_premium_year | int | NOT NULL
at_kind | varchar(8) | NOT NULL
at_assess_date | datetime | NOT NULL
at_allocation_group | int | NULL
at_type | varchar(8) | NOT NULL
at_assess_amount | money | NOT NULL
at_deferred_amount | money | NULL
at_reversal | char(1) | NOT NULL
at_from_deferred | char(1) | NOT NULL
at_adjustment_date | datetime | NULL
at_mod_user | varchar(8) | NULL
at_mod_date | datetime | NULL
at_add_user | varchar(8) | NULL
at_add_date | datetime | NULL
at_reverse_at_id | int | NULL
at_loc_notification | char(1) | NULL
4032

FIGURE 57B

NAIC Tables

4100

4102

naic_nationwide

Column Name	Condensed Type	Nullable
nn_id	int	NOT NULL
nl_id	int	NOT NULL
nn_premium_year	int	NOT NULL
nn_sf_code	char(3)	NOT NULL
nn_naic_code	char(5)	NOT NULL
nn_line_number	varchar(7)	NULL
nn_insurer_licensed	money	NULL
nn_gross_premium	money	NULL
nn_dividend	money	NULL
nn_direct_loss_unpaid	money	NULL
nn_federal_premium	money	NULL
nn_loaded_ind	char(1)	NULL
nn_status	varchar(8)	NULL
nn_mod_user	varchar(8)	NULL
nn_mod_date	datetime	NULL
nn_add_user	varchar(8)	NULL
nn_add_date	datetime	NULL

4104

naic_load

Column Name	Condensed Type	Nullable
nl_id	int	NOT NULL
nl_premium_year	int	NOT NULL
nl_sf_code	char(3)	NOT NULL
nl_file_type	varchar(8)	NOT NULL
nl_status_date	datetime	NOT NULL
nl_records_staged	int	NOT NULL
nl_records_loaded	int	NULL
nl_status	varchar(8)	NOT NULL
nl_mod_user	varchar(8)	NULL
nl_mod_date	datetime	NULL
nl_add_user	varchar(8)	NULL
nl_add_date	datetime	NULL

4106

naic_surplus

Column Name	Condensed Type	Nu
ns_id	int	NOT NULL
nl_id	int	NOT NULL
ns_premium_year	int	NOT NULL
ns_sf_code	char(3)	NOT NULL
ns_naic_code	char(5)	NOT NULL
ns_current_surplus	money	NULL
ns_pnor_surplus	money	NULL
ns_loaded_ind	char(1)	NULL
ns_status	varchar(8)	NULL
ns_mod_user	varchar(8)	NULL
ns_mod_date	datetime	NULL
ns_add_user	varchar(8)	NULL
ns_add_date	datetime	NULL

4108

naic_net_income

Column Name	Condensed Type	
nni_id	int	NOT NULL
nl_id	int	NOT NULL
nni_premium_year	int	NOT NULL
nni_sf_code	char(3)	NOT NULL
nni_naic_code	char(5)	NOT NULL
nni_current_net_income	money	NULL
nni_pnor_net_income	money	NULL
nni_loaded_ind	char(1)	NULL
nni_status	varchar(8)	NULL
nni_mod_user	varchar(8)	NULL
nni_mod_date	datetime	NULL
nni_add_user	varchar(8)	NULL
nni_add_date	datetime	NULL

4110

naic_member_prem

Column Name	Condensed Type	Nullable
nmp_id	int	NOT NULL
nl_id	int	NOT NULL
nmp_premium_year	int	NOT NULL
nmp_sf_code	char(3)	NOT NULL
nmp_naic_code	char(5)	NOT NULL
nmp_loi_number	varchar(6)	NOT NULL
nmp_premium	money	NOT NULL
nmp_dividend	money	NOT NULL
nmp_unpaid_losses	money	NOT NULL
nmp_loaded_ind	char(1)	NULL
nmp_status	varchar(8)	NULL
nmp_mod_user	varchar(8)	NULL
nmp_mod_date	datetime	NULL
nmp_add_user	varchar(8)	NULL
nmp_add_date	datetime	NULL

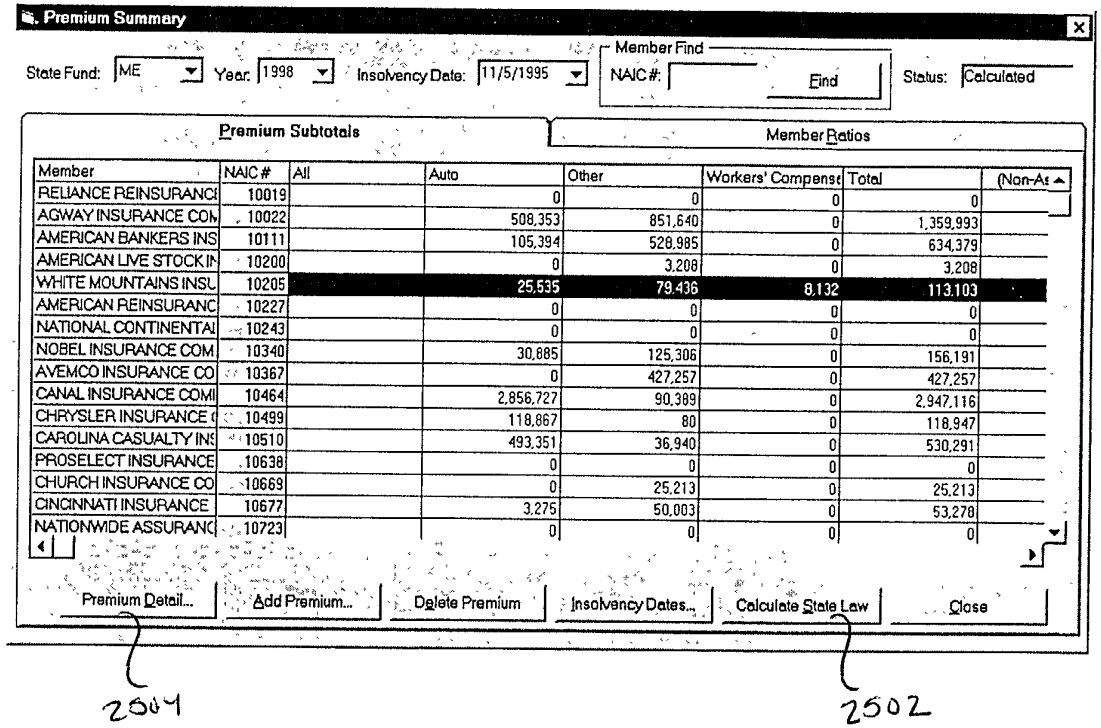
4112

naic_demographics

Column Name	Condensed Type	Nullable
nd_id	int	NOT NULL
nl_id	int	NOT NULL
nd_premium_year	int	NOT NULL
nd_naic_code	char(5)	NOT NULL
nd_company_name	varchar(36)	NULL
nd_filing_type	char(1)	NULL
nd_company_type	char(1)	NULL
nd_fein	char(11)	NULL
nd_state_domicile	char(2)	NULL
nd_address	varchar(40)	NULL
nd_city	varchar(30)	NULL
nd_state	char(2)	NULL
nd_zip	varchar(10)	NULL
nd_contact_person	varchar(30)	NULL
nd_contact_phone	varchar(19)	NULL
nd_officer_name	varchar(30)	NULL
nd_comm_bus_date	varchar(10)	NULL
nd_group_code	char(5)	NULL
nd_group_name	varchar(50)	NULL
nd_company_status	char(1)	NULL
nd_canadian	char(1)	NULL
nd_loaded_ind	char(1)	NULL
nd_status	varchar(8)	NULL
nd_mod_user	varchar(8)	NULL
nd_mod_date	datetime	NULL
nd_add_user	varchar(8)	NULL
nd_add_date	datetime	NULL
nd_country	varchar(25)	NULL

FIGURE 58

2500



2504

2502

FIGURE 59

2600

Premium Detail

State Fund: RI Year: 1998 NAIC #: 10111 AMERICAN BANKERS INSURANCE COMPANY OF FLORIDA Status: Approved

Insolvency Date: 11/5/1995 < 3000 Policy Holders: ☐

LOI #	Line of Insurance	Account	NAIC Premium	NAIC Dividend	Adjusted Premium	Adjusted Dividend	State Law Adjusted	Net Premium	F
21	ALLIED LINES	Other	-24	0			0	0	
3	FARMOWNERS MULTIPLI	Other	37,751	0			0	0	
4	HOMEOWNERS MULTIPL	Other	27,782	0				27,782	
9	INLAND MARINE	Multi.	-129,558	0	-129,558	0	0	0	
17	OTHER LIABILITY	Other	20,881	0			0	0	
19.2	OTHER PRIVATE PASSEI	Auto	31,947	0			0	0	
21.1	PRIVATE PASSENGER AL	Auto	63,787	0			0	0	
24	SURETY	(Non-As	9,611	0			0	0	
31	AGGREGATE WRITE-INS	Multi	3,268,677	0	3,268,677	0	0	0	
99 6	5-YEAR AVERAGE - AUTC	Auto					21 600	21,600	
99 7	5-YEAR AVERAGE - OTHE	Other					75 900	75,900	

26069

26066

2602

2604

Totals

NAIC Premium:	3,330,854	Net Premium:	3,330,854
NAIC Dividend:	0	Net Premium Post-Assessment:	3,330,854

Save Allocate... Close

FIGURE 60

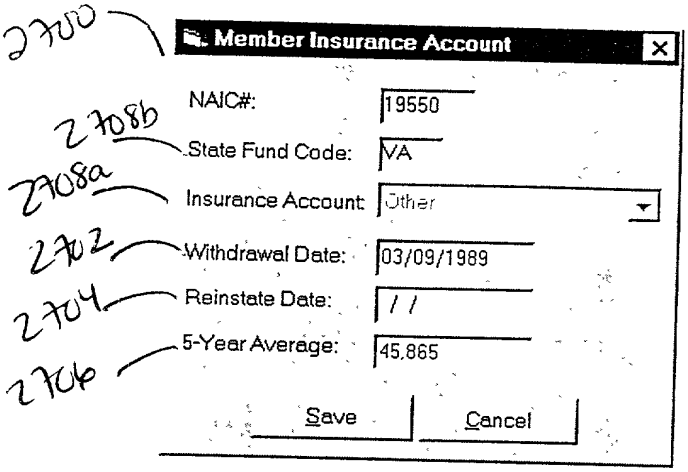


FIGURE 61

Patent Application Publication